GUIDELINES FOR CONDUCTING CULTURAL RESOURCE SURVEY IN VIRGINIA

**Additional Guidance for the Implementation of the Federal Standards
Entitled
Archaeology and Historic Preservation:
Secretary of the Interior's Standards and Guidelines
(48 FR 44742, September 29, 1983)**

**1999
Rev. Jan. 2003**

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INTRODUCTION TO SURVEY

What is an historic resource survey?

An historic resource survey is the process of locating and identifying historic resources within a specific geographical area and documenting them to an established minimum standard.   Historic resource survey involves gathering and organizing data from the field, historical research, interviews and planning.

Why conduct an historic resource survey?

The primary reason for conducting a survey is to identify important historic resources in Virginia's communities. Such resources give communities special character and cultural depth. The information obtained by a survey can provide unique insights into a community's past, and can form the basis for making sound judgments in community planning. Survey data can be used to create a preservation plan in which significant historic resources are recommended for preservation. It can lead to an increased understanding and public awareness of a community's historic landmarks and a greater commitment to preserving them.

Historic resource data is the foundation upon which all decisions affecting historic resources are made. Decisions are only as good as the information available.

Who Can Conduct a Survey?

Maintaining an ongoing statewide survey of historic resources is one of the primary responsibilities of the Virginia Department of Historic Resources (VDHR). Working with local governments, consultants, professionals in the field, federal and state agencies, and private organizations, VDHR assembles and organizes survey data, adding it to the agency's Archives.

VDHR also works with individuals and groups to increase the agency's inventory of historic resources. Localities can undertake surveys in cooperation with the VDHR through its Certified Local Government program, or through Cost-Share projects using the State Survey and Planning Fund. Local governments, historical societies, professional and avocational organizations, universities and colleges often take on survey projects as well, with guidance and supervision from VDHR and qualified consultants.

No matter what the source of survey material, it is important that survey data be evaluated and incorporated into the planning activities for the community where the survey took place. The information generated by any survey project should be made available to community development and planning agencies, local, state, and federal agencies, developers, libraries and schools.

What Has Been Done in Virginia?

Survey and documentation of the Commonwealth's historic buildings, structures and landscapes has been an ongoing process since the Virginia Historic Landmarks Commission (predecessor of the Virginia Department of Historic Resources) was established by an act of the General Assembly in 1966.

Architectural properties have been surveyed by a variety of means. Some survey has been undertaken by DHR staff, some by volunteers and students, and some by professional consultants. In the late 1960s and 1970s, much of Virginia's survey effort focused upon the documentation of high-style examples of American architecture along with those structures associated with important Virginians and significant events. Beginning in the 1980s and carried through to the present, historic resource survey has broadened to include representative examples of all resource types from all historic periods and many different historic associations. Diners, industrial plants, workers' housing, military architecture, barns, schools, historic roads, bridges and designed landscapes are taking their place alongside Virginia's premier colonial and antebellum dwellings.

To date some 145,000 properties across the Commonwealth have been recorded at various levels of completeness. All counties and cities have at least some properties recorded in the form of VDHR survey files; however, this number varies from less than 50 in Greene County to over 2,000 in Albemarle County, and from fewer than ten in some towns to over 1,000 in large cities like Richmond, Norfolk and Alexandria. Most counties are represented by 100 to 200 surveyed properties, while well-surveyed counties are represented by 400 or more. The original documentation is arranged by county and city and is stored in the VDHR Archives in Richmond. The information contained in these files is used by the VDHR staff, government agencies, consultants, researchers and the general public. Many pieces of the information are also included in the Department's GIS system and in its database system. The Department's survey data represents an invaluable source of information for a broad variety of disciplines and applications, including cultural resource management, public education, scholarly research, and preservation and environmental planning.

Since 1991 the Department has developed and administered cost-share agreements with local governments to fund county, city and town surveys, and planning projects through the State Survey and Planning Fund. Also in 1991, the department began the task of automating its extensive inventory information. In conjunction with the National Park Service, VDHR developed a survey database known as Integrated Preservation

Software (IPS). Beginning In 1998, through a cooperative agreement with the Virginia Department of Transportation, all basic survey information was added to the VDHR automated database known as DSS (Data Sharing System). DSS integrates resource locational information with survey data in an access-restricted, online environment. As of 2002, DSS is the standard for survey data submission to VDHR. For information on training or obtaining access to the database, please contact the DSS Manager at 367-2323.

Virginia's Survey Priorities

The Virginia Department of Historic Resources places priorities on surveys that:

*   **are tied to the further development of historic contexts identified in the State Plan.**

> Comments: Survey projects that relate to the state preservation plan in one or more of the following ways are considered of high priority: 1) cover geographic and/or thematic areas for which existing information is limited or greatly in need of improvement, 2) develop statewide, regional or local historic contexts within the framework of the state preservation plan, 3) search for and identify all property types related to an already developed historic context within the survey area, or 4) conduct other identification activities pursuant to written goals and priorities for established historic contexts.

> *   **further the "Strategic Goals for Historic Preservation in Virginia".**

> > Comments: Surveys that address one or more of the "Strategic Goals for Historic Preservation in Virginia" are considered of high priority, particularly those that help Virginia's local governments to establish sound preservation programs that make historic preservation an integral part of the overall effort to foster and promote the general welfare of the community.

> *   **are consistent with the Department's Register priorities.**

> > Comments: Survey projects that relate to the Department's register priorities and/or anticipate registration of eligible resources following the survey are considered high priority, particularly those anticipating multiple property nominations, such as historic districts and Multiple Property Documentation submissions.

> *   **address areas with insufficient or poor quality survey.**

Comments: Survey projects for areas of the Commonwealth with insufficient or poor quality survey are considered high priority. The Department will update annually its status report on the quality of archaeological and architectural survey for each county and independent city.

* **address areas where historic resources are threatened.**

Comments: Survey projects for areas or resources threatened by development or neglect are considered high priority.

* **surveys that lead to protection.**

Comments: The identification of historic resources is the first step towards their protection. Survey projects that include the updating or expanding of the preservation component of a comprehensive plan, the implementation of a local preservation ordinance, or other protection measures are considered to be of high priority.

GUIDELINES

The Secretary of the Interior has developed broad national performance standards and guidelines to assist agencies and individuals with the implementation of historic preservation activities. These federal standards and guidelines are titled *Archaeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines* (48 FR 44716-44742).

VDHR has prepared these guidelines around the *Standards* that have been developed for the identification of historic resources, or what is called "survey". The intent is to provide a more detailed explanation of the Secretary's Standards and to clarify expectations for conducting architectural survey in Virginia.

CHAPTER 1

DEVELOPING A RESEARCH DESIGN FOR ARCHITECTURAL SURVEY

Secretary of the Interior's Guidelines for Identification (Appendix A): "Within the framework of a comprehensive planning process, the research design provides a vehicle for integrating the various activities performed during the identification process and for linking those activities directly to the goals and the historic context(s) for which those goals were defined."

In other words, the research design describes what the survey is to accomplish and why; how it is going to be done; and what it is expected to reveal.

The research design should link all identified historic contexts with the goals of the survey and include the methods for achieving those goals. Survey methodology should include actions taken in the field and steps for conducting research.

ELEMENTS IN DEVELOPING A RESEARCH DESIGN:

I.   Objectives

      A.   Purpose

      B.   Goals

      C.   Priorities

      D.   Coverage

II.   Methods

      A.   Background Research

      B.   Fieldwork

      C.   Processing information

      D.   Public Participation

      E.   Schedule

III.   Expected Results

A.   Kind or type of properties

B.   Number

C.   Location

D.   Character

E.   Condition

I.   Objectives

The first step in creating a research design is to establish the **purpose** of the survey. Why is the survey being undertaken? In most cases a survey is conducted for the purpose of gathering information in order to make decisions about the significance of resources and about how they should be treated. Other reasons may include raising public awareness about the historic resources in the community. In Virginia, a state that relies heavily on the tourism industry, a community may wish to undertake a survey for the purpose of promoting economic development through the use of its historic resources.

Combined with determining the purpose of a survey should be identifying the survey **goals**. What is the survey trying to accomplish? A locality may have broad goals to integrate the data produced by a local survey of historic resources into the local planning process, or create an inventory of historic resources for all areas of the community that are targeted for increased development. Survey goals can also be more specific. Examples of specific types of projects may be a comprehensive inventory of resources within an established historic district, or an inventory of resources that may be affected by a proposed development or transportation improvement project.

It is best to develop goals centered on identifiable historic contexts. For example, consider a rural county in Southside Virginia that experienced an early-19th-century boom in tobacco cultivation. This event may have resulted in the establishment of large plantations. However, during the late 19th century, tobacco production declined and the railroad arrived in the area and became the catalyst for the development of several small communities along the rail line. The historic context for this scenario will focus on lower piedmont domestic and agricultural themes from the antebellum period and commerce and industry from the reconstruction and growth period. Therefore, for this locality, the survey goals may be to conduct a county-wide survey of: 1) all early-19th-century domestic and agricultural resources associated with tobacco production and 2) all concentrations of late-19th-century resources in small communities. Goals can be general or specific depending on the identified needs (purpose) of the community or organization conducting the survey.   Existing data should be consulted when

determining goals.

Determining survey goals also usually leads to the establishment of survey **priorities**, which, if applicable, should be included in a research design. Planning needs, threats, available funds, and politics all may contribute to the establishment of priorities. Suppose the above Southside Virginia county is trying to bring more tourists to the area and each town is planning and promoting ways to capitalize on its historic resources. In looking at the goals mentioned above, the first priority may be to survey the concentrations of late-19th-century resources in small communities. Resources related to tobacco cultivation may become a second priority. A discussion of survey priorities often provides the overall objective statement for a survey project.

Finally, you need to establish the survey **coverage**. It is important to define the survey area in terms of comprehensiveness and geographic bounds. Large county or city-wide surveys are often selective, while project specific surveys or historic district surveys are more comprehensive. Comprehensive survey involves the identification of every resource--historic and non-historic--within the geographic bounds of the survey area. Selective survey is based on pre-determined criteria and may involve only recording the oldest or best examples of a resource type, or the best-preserved examples of a resource type associated with a particular theme.

Determine the geographic bounds of the survey. For a county or city-wide survey, the geographic bounds will usually coincide with the political boundaries of the locality being surveyed. For a project-specific survey the survey boundaries will include the project area and the area of potential effect. Thematic surveys may cover several counties, a region, or the entire state.

II.   Methods

Next it is important to determine the methods and techniques that are to be used during the survey to locate and evaluate resources. What is to be done and why? Purpose, goals, and priorities will determine methods for achieving the desired results. Methods employed in a survey must relate to the objectives of the survey project.

Most important for starting a survey is **background research**. Determine the types of documents or resources that will be consulted and their probable location. Establish a procedure for obtaining and consulting existing resource information and a procedure for integrating it into the survey project.

Developing a methodology for **fieldwork** will be determined by the survey's level of documentation (reconnaissance or intensive). The type of survey (comprehensive or selective) will also help determine what field methodology is appropriate. Selective survey often requires the development of a strategy for selecting properties in the field for recordation. Methodology for fieldwork also involves determining the type of

equipment needed, the steps to be undertaken at each property that is being surveyed, and the method for recording each resource on a map.

Methodology should also include: establishing a procedure for **processing** all the survey data, photographs, and other relevant information; establishing a procedure for **public participation** in the project; and the establishment of a **schedule** of tasks.

III.   Expected Results

The *Secretary of the Interior's Guidelines for Identification* states that, "Expectations about the **kind**, **number**, **location**, **character**, and **condition** of historic properties are generally based on a combination of background research, proposed hypothesis, and analogy to the kinds of properties known to exist in areas of similar environment or history."

Based on established goals, priorities, needs and methodology employed, what kinds of resources should the survey reveal? How many resources may be located in the bounds of the survey area and what is the likely state of preservation? Where are the likely concentrations? What distinctive characteristics may be identified? These types of questions should be considered in the research design prior to beginning the survey project.

The research design should be described in the survey report. The following chapters will expand upon background research, methodology, organizing survey material, and reporting results.

CHAPTER 2

BACKGROUND AND ARCHIVAL RESEARCH

<u>**INTRODUCTION**</u>

Research is one of the most important activities in conducting a survey project. The type of survey project and the amount of existing documentation and historic context development already available will determine the level of research needed for any given survey project.

Research should be conducted early in the project as well as in conjunction with field survey and report preparation. In most cases, the bulk of the research is conducted at the beginning of the project and is later supplemented as field survey reveals other avenues for inquiry or raises new questions.

Background research is undertaken to determine what is already known about historic resources in the survey area, including previous identification efforts and the previous development of historic context. Archival research is conducted to build upon what exists by studying contemporary and historic documents associated with the survey area. Background and archival research will form the basis for your historic context and will allow you to develop survey objectives and strategies, establish survey priorities, and form opinions about expected results.

The approach to research should be based on your research design and should focus on the types of resources you expect to record during the survey. Research and historic context development is not intended to be a discourse on the entire history of the project area from the beginning of time. It should be oriented towards, and relevant to, the range of historic resources found on properties under investigation.

<u>**BACKGROUND RESEARCH**</u>

Background research provides the surveyor with a foundation of information on which to build. It is an introduction to the survey area and its resources, and it can also provide an avenue for contact with local officials and the public. Good background research will allow the surveyor to avoid duplication of effort. Do not repeat previous survey efforts but reference them and build upon them.

Study all previous work with a critical eye. It is not necessary to accept everything at face value, and it is perfectly appropriate to correct or reinterpret previous efforts if your archival research or field survey demonstrates that it is imperative to do so. Survey and research techniques have evolved and changed considerably over the past 50 years, and you may find that many earlier surveys were conducted without benefit of adequate research.

Conducting Background Research - For most architectural surveys, background research should consist of the following steps:

1. **Consult the VDHR inventory.** The Department of Historic Resources is the Commonwealth's central repository for survey information on Virginia's historic buildings, structures, sites, objects and historic districts. The VDHR inventory includes survey information gathered statewide by the agency since 1967. Inventory files also include copies of WPA (Works Progress Administration) survey forms of the 1930s and copies of HABS (Historic American Buildings Survey) forms of the 1950s and 1960s. Inventory files also contain information supplied by private property owners, local governments, and volunteers.

    Inventory files exist for every locality in Virginia, with many variations in quality and coverage. Each year VDHR makes an assessment of its inventory. The assessment is available to help determine the status and quality of survey coverage in your survey area.

    Unfortunately, the statewide inventory for historic resources is far from complete. Therefore, it is important to remember that consulting the VDHR inventory does not provide a complete picture regarding the presence or absence of historic resources in a county, town, or city. Instead, it will illustrate what resources have been recorded for a particular area. Take into account the source, the quality, and the age of the survey data before determining what level of field survey is warranted for your survey project. **Properties for which the survey data is seven years of age or older should be resurveyed, or at a minimum, re-photographed**.

2. **Consult the VDHR library.** In addition to its extensive inventory, VDHR has the largest collection of unpublished survey reports in Virginia. Many of the survey reports were written for specific federal or state undertakings and cover a small site-specific area. Copies of the reports reside with the sponsoring agency and with VDHR. Other county or city-wide survey reports cover large areas and are more general in scope. Copies of county or city-wide reports reside with the respective locality and with DHR. Each survey report contains an historic overview or context and a bibliography of sources consulted. Review of these types of survey reports will assist in providing an introduction to the resources in your survey area and should assist you in locating archival documents. Again, reference and build upon this information as appropriate. As with inventory data, take into account the source, the quality, and the age of the document in determining its usefulness to your project.

3.   **Consult the local government agencies, including any local historical societies or associations.** You will find that persons representing the locality in which you are working will be the most knowledgeable about what types of survey have been conducted in their community and where you will find archival resources. If a college or university is located in the locality in which you are working, you should consult its collections to determine what research has been conducted in your project area.

4.   **Review existing planning documents at the local and state level.** A review of local and state planning documents will assist you in developing your survey strategies and in determining what potential threats to historic resources may exist. Threats can be in the form of development, road or utility expansion, neglect, and planned demolition. Local and regional planning offices and local departments of public works are probably the best source for this type of information. At the very least, consult the local comprehensive plan, the Virginia Department of Transportation Plan, and Virginia Power's public utility plan. Note: threat by neglect may be evident when consulting tax records, but often reveals itself only after field survey has been conducted.

ARCHIVAL RESEARCH

When conducting reconnaissance-level survey, in depth research on every historic property is not necessary, nor is it appropriate. Reconnaissance survey is intended to provide an overview or a sampling of the types of resources in the area. Research should focus on developing general trends and themes that allow the resources to be placed in a broad historic context.

When conducting intensive-level survey, it is more important to delve into the history of the specific resource(s) you are working with. You need to place the property in its appropriate historic context(s), and you need to establish its own associative and historic value within that historic context(s).

Conducting Archival Research - For most architectural surveys, the following types of sources should be considered in planning your research:

The following section has been extracted from the VDHR publication *Researching your Historic Virginia Property.*
Some records may be available in more than one location or repository; in such cases suggestions are made as to the best place to look.

The name of the repository (each located in the city of Richmond) is abbreviated: DHR (Department of Historic Resources); LVA (Library of Virginia; formerly the Virginia State

Library and Archives); VHS (Virginia Historical Society); VM (Valentine Museum). The next section, titled "The Repositories," presents information about each repository (address, telephone number, hours of operation, and so forth).

1.	The VDHR library and map collection. In addition to the extensive inventory, VDHR has several types of resources that are helpful. The following may be of the most useful in conducting research:

	historic maps
	unpublished reports
	Mutual Assurance Society policies and index
	HABS drawings
	published and unpublished articles, and papers

	VDHR has copies of all the Mutual Assurance Society policies for properties in Virginia through the Civil War. They are indexed by locality, property name, and policy holder name. VDHR has an extensive collection of historic maps, including the Wood and Gilmer collections. VDHR has many of the HABS drawings for properties in Virginia. The VDHR Archives is open Monday through Friday from 8:30 a.m. to 4:30 p.m. closed for lunch from 12- 1.

2.	Local county and regional histories. Location: VDHR; LVA; VHS; local libraries.

	The best one-volume guide to the history of Virginia is Emily J. Salmon and Edward D. C. Campbell, Jr., eds., *The Hornbook of Virginia History*, 4th ed. (Richmond: Library of Virginia, 1994). Besides presenting a brief narrative history of the state, the *Hornbook* serves as "a ready-reference guide to the Old Dominion's people, places, and past." It contains lists of the state's executive officers, "Virginians in the Nation's Service," counties, cities, colonial parishes, rivers, selected historic places of worship and houses, as well as other data.

	Histories have been published about most of the cities, counties, and regions of Virginia. They vary widely in accuracy, scholarship, and reliance on local tradition or documentary sources. Your property or its owners may be mentioned, but you should exercise caution in assessing what is written, especially concerning the dates ascribed to early buildings.

	You should consult your local public or college libraries for unpublished collections of notes and clippings as well as for printed histories. Many a local historian has spent years compiling data that was never published.

3.	Historic Maps, including old USGS topographic maps and the Official Atlas

of the Civil War. Location: VDHR; LVA; VHS; VM.

The Library of Virginia and the Virginia Historical Society have large collections of maps, ranging from general maps of the state to specialized maps showing the surveyed routes of turnpikes and railroads. Maps can be very useful in tracing the ownership of your property, especially if you are uncertain of the names of the owners during the 19th century and earlier. For example, if you are researching a house that was constructed in a style popular in the mid-19th century, such as the Greek Revival, it likely was built before the Civil War. It probably will appear on Civil War-era maps with the name of the owner or occupant noted. You could then consult the LAND TAX BOOKS (*see below)* and begin tracing the line of ownership.

For many years beginning in the 1870s, the Sanborn-Perris Map Company produced maps of towns and cities for use by insurance companies. These maps showed the configuration or "footprint" of each building on its lot, noted the materials of which it was constructed, and indicated its function. They are an invaluable source of information for all kinds of structures in urban settings. A complete set of original maps is in the Library of Congress; the Library of Virginia has a microfilm copy, as well as many originals. The Valentine Museum has a card index to properties noted on the maps for the city of Richmond.

Sometimes plats of specific tracts of land (*see* PATENTS AND GRANTS below) are filed in map collections. They typically note the metes and bounds of a particular tract, as well as any roads or watercourses that border or cross its boundaries. You may occasionally find a plat on which a stylized dwelling or other building is drawn.

Atlases can also be useful sources of information about standing structures. One of the best is *The Official Atlas of the Civil War* (New York: T. Yoseloff, 1958), which was compiled from the official records of the war. If your building was constructed before the war began, and if there was military activity in or near your county, there is a good chance that the property and the name of its owner or occupant will appear in this atlas.

For more information about maps, *see* Library of Virginia, Archives Research Notes Number 4, *Using the Map Collection in the Archives*, available from the Library of Virginia.

4. Census Records. Location: LVA.

The United States has undertaken a census of its inhabitants every ten

years beginning in 1790. Unfortunately, the LVA census records for Virginia for 1790, 1800, and 1890 were destroyed by fire; part of the 1810 census also was lost. A microfilm copy of each surviving census from 1810 to 1920 can be consulted at the LVA. In addition, certain special schedules also are available. They include Agriculture, 1850, 1860, 1870, and 1880; Industry, 1820, 1850, 1860, 1870, and 1880; Slaves, 1850 and 1860; and Social Statistics, 1850, 1860, and 1870.

The census of inhabitants did not include the name and age of every person in a family until 1850. Earlier censuses only give the name of the head of the household and the numbers of other household members grouped by age and sex. Beginning with the 1850 census, occupations and literacy are also noted.

Agriculture schedules indicate the types of crops and livestock raised; the value of the farm and its equipment; and the number of improved and unimproved acres. A comparison of data from the various years available yields a fascinating picture of changes in farming practices and yields.

Industry schedules list the different kinds of industries active in each locality, including mills, quarries, factories, mines, ironworks, etc. Data includes raw materials consumed, quantities of products manufactured, and the numbers of employees and their wages.

Slave schedules, unfortunately, do not give the names of the slaves, only their sex and age. They are grouped in each locality under the name of the slave owner.

Social Statistics schedules list, for each locality, the numbers of schools (with race and numbers of students for each), numbers of churches (with their seating capacities), and denominations by name.

5.   City and Business Directories. Location: LVA; VHS; VM; other libraries.

In the mid-19th century urban centers began to publish directories of inhabitants and businesses. Later in the century, regional directories appeared that generally included a city and surrounding counties at a minimum. The directories are arranged like telephone books, providing the names of residents, their occupation, business address, and home address. After 1880, they include a section arranged by street address, so you do not have to know the name of the occupant to locate a property. If the address of a property is listed, a building existed on the lot at that time and may be the building you are researching. Continue to look up the same address in directories of previous years until the address no longer

appears. Most likely the building was constructed the following year.
Most directories also have separate lists of businesses, craftsmen, and
tradesmen. They are excellent guides to the occupations and businesses
of Virginians during the last century or more.

Examples of directories include: *Elliott & Nye's Virginia Directory, and
Business Register for 1852*; *Randall's Business Directory of Winchester,
Berryville, and Front Royal, Virginia* (1892/93); *Virginia Business Directory
and Gazetteer* (1878-1917); *Virginia State Business Directory* (1871/72);
and many others.

6.   Historical Photographs and Illustrations. Locations: DHR; LVA; VHS; VM.

Most buildings have undergone a surprising number of changes since they
were built. Owners have replaced roofs, torn down porches, added ells
and wings, and remodeled with new woodwork to follow changing
fashions, just to name a few common alterations. Sometimes the "ghost"
outlines of porches or mantels remain behind to help in restoration, but old
photographs can be much more useful.
To find such photographs, first look at published local or regional histories,
especially those with an "old homes" approach. Ask at local public and
college libraries, too, as many have newspaper and manuscript files on
their communities that may include old photographs.

If there is an architectural survey file at the Department of Historic
Resources, or if your building is listed in the Virginia Landmarks Register
or the National Register of Historic Places, the relevant DHR files may
contain historic photographs. Likewise, such photos may be found in the
picture collections at the Library of Virginia, the Virginia Historical Society,
and the Valentine Museum, which has the notes and photographs of Mary
Wingfield Scott, Richmond's foremost early- to mid-20th-century
architectural historian and preservationist. The Library of Virginia holds
two collections that contain photographs dating to the 1930s: the George
B. Lorraine real estate company (*see* BUSINESS RECORDS above) and
the WORKS PROGRESS ADMINISTRATION HISTORICAL INVENTORY
PROJECT (below).

Besides photographs, look for other kinds of illustrative material, such as
old engravings and paintings of towns and cities. In the 19th century,
"bird's-eye views" of towns and cities were painted and engraved, often in
amazing detail. Also, thousands of photographs and field drawings made
during the Civil War were reproduced in magazines and newspapers as
engravings, particularly in *Harper's Weekly* and *Frank Leslie's Illustrated
Newspaper*. These engravings have been widely reproduced in illustrated
histories of the war.

7. Patents and Grants. Location: LVA.

The state archives at the Library of Virginia holds the records of the Land Office, including patents and grants. The royal governors of Virginia issued patents in the name of the king between 1623 and 1774. After an interlude because of the Revolutionary War, the state's elected governors began issuing land grants in 1779. In the Northern Neck Proprietary (that part of Virginia north of the Rappahannock River), the Fairfax family issued its own grants between 1690 and 1808.

Colonial patents were in effect purchases of land directly from the royal government rather than from another subject. Anyone could pay the fees and obtain a patent. The document was issued in the name of the king; the king did not actually issue the patent.

Some patents were issued for the importation of "headrights." To encourage immigration to the colony, 50 acres of land could be claimed by anyone paying for an immigrant's transportation. Often the names of the immigrants were included in the patent document. This fact is sometimes construed to mean that the immigrant arrived from England in the year the patent was issued, but that was not necessarily the case. The patent was issued after proof that the transportation fees were paid, and the process could have taken some years. Also, the immigrants could have been from countries other than England, or even from other colonies. Finally, just because the patent was issued for land in a particular county, that does not mean that the immigrant lived there, only that the county was where the vacant land was found.

Because patents—and grants—were issued to encourage actual settlement and not land speculation (although the latter occurred anyway), the recipients were given three years to "seat and save" the patent, which otherwise would revert to the colony. In other words, the patentee was supposed to erect a building on the land and improve part of it within three years. Sometimes present-day owners assume, erroneously, that a dwelling obviously dating from the colonial period was built the year the patent was issued. It is far more likely that the patentee erected some temporary structure, now long-vanished, and that the dwelling currently standing was built a generation or more later. This is certainly true of 17th-century patents and generally true of those issued in the 18th century.

Besides the patents and grants, which like deeds give the metes and bounds of the property, the researcher will find the extant plats useful. Unfortunately, the Land Office burned the plats annually before 1774 once

the patent had been issued, so few colonial plats survive. An exception is the Northern Neck Proprietary, which kept its plats. Plats are generally available after 1779 statewide, and some of them show—besides the boundaries of the property—watercourses, woodlots, and dwellings.

For a detailed list of all the records of the Land Office, *see* Daphne S. Gentry, comp., and John S. Salmon, ed., *Virginia Land Office Inventory*, 3d ed., rev. and enl. (Richmond: Virginia State Library and Archives, 1988).

8.   Works Progress Administration Historical Inventory Project. Best location: LVA.

The WPA Historical Inventory Project, one of President Franklin D. Roosevelt's New Deal programs, began in November 1935 and ended by 1939. It employed clerks, writers, and editors to survey and record the historic cultural and architectural resources of the state. The field workers wrote descriptions and took photographs of thousands of buildings and structures. The quality of these reports varies widely, and they often contain a mixture of documented facts and local legends. The photographs are always useful, however, as records of a building's appearance some 60 years ago.

The Library of Virginia holds the original files and photographs; a microfilm copy of the project files in alphabetical order by locality (Film 509; 30 reels) is available for use there as well, and for inter-library loan within the state. Every county and city in Virginia is represented in the files except for the counties of Amelia, Bland, Brunswick, Charles City, Charlotte, Clarke, Essex, King and Queen, Mathews, Richmond and Smyth. The photographs of houses, churches, schools, businesses, and other buildings that accompanied the files were separated from them before microfilming and transferred to the library's Picture Collection. You will need to examine the microfilm and visit the Picture Collection in order to see the complete record.

Examples of the types of references that may be helpful after field work has commenced:

1.   Publications about architects and their works. These types of sources may be helpful in determining if a known architect worked within your study area. The most recent, and the most comprehensive compilation, for Virginia is *The Virginia Architects, 1820-1955; A Biographical Dictionary* by John E. Wells and Robert E. Dalton (Richmond: the new South Architectural Press, 1997).

2.	Business Records. Locations: LVA; VM; VHS. Usually in manuscript form, sometimes microfilmed. May contain letters, letter books, ledgers, etc.

One expects to find businesses functioning in the commercial centers of towns and cities, but in rural areas many businesses were conducted in or near one's home. Farmers sometimes owned blacksmith shops or general stores, and the records of these businesses often can tell you something about the people who operated them. Likewise, they can reveal what people were buying, how they furnished and decorated their houses, and what their standard of living was.

The Library of Virginia has a large collection of business records, and one series is of particular interest to researchers of houses. It is the papers and photographs of George B. Lorraine, a real estate agent in Richmond and Northumberland County, ca. 1930-1970. He specialized in eastern Virginia houses, especially farms and large estates. For descriptions of this and other business records, *see* Conley L. Edwards III, Gwendolyn D. Clark, and Jennifer D. McDaid, comps., *A Guide to Business Records in the Virginia State Library and Archives* (Richmond: Va. State Library and Archives, 1994).

If your property was built between 1882 and 1932—particularly if it is stylistically noteworthy and you suspect it was designed by an architect but you do not know his name—you should consult the *Manufacturers Record*, which is available at the Library of Virginia. This weekly business magazine listed construction projects all over the South, including private dwellings and small businesses as well as public buildings such as courthouses, and gave the names of the architects.

Other business publications worth consulting, if they exist for your area, are the promotional brochures produced in the late 19th and early 20th centuries by chambers of commerce and railroad companies. They often contain illustrations and descriptions of the homes of prominent citizens, locally important businesses, and tourist attractions.

3.	Church Records. Locations: LVA; VHS; individual churches; institutional church repositories.

Church records may contain lists of births, baptisms, marriages, and deaths. They may consist of vestry or session minutes. They may mention the construction or repair of a church building. In other words, their contents may be personal or institutional. They may be kept at individual churches, or in the collections of a church historical society.

One of the largest collections of church records (many on microfilm or in other copy formats) is found at the Library of Virginia. *See* Jewell T. Clark and Elizabeth Terry Long, comps., *A Guide to Church Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, 1988). The Virginia Historical Society also has original and microfilmed church records.

4.   Deeds. Best location: LVA to approximately 1865, local courthouses thereafter.
Second best location: local courthouses and clerks' offices.

Deeds are the records of the transfer of lands and buildings, or personal property, from a seller to a buyer. A deed contains the names of the parties involved, their places of residence, the purchase price, a description of the property (with metes and bounds in the case of land), and legal language ensuring the "quiet and peaceable" possession of the property by the new owner.

Rarely do deeds specifically mention buildings, except in boilerplate legal terms calculated to convey all types of property that are integral parts of the land. Such phraseology may include "all houses, barns, trees, fields, orchards, watercourses," etc., whether or not they actually existed. On the other hand, buildings used for special purposes, such as churches and schools, may be mentioned in deeds. In such cases the property is usually conveyed to or by a group of trustees, a school board, or superintendent.

It is often difficult to use deeds to trace a particular piece of property containing a house or business, because the deed probably will not mention whether a building stands on the tract, and the boundary description seldom includes enough known landmarks to make the location obvious. If a tract contained more than a few acres, it is likely that pieces were sold off over the years. It is often not possible to tell from the deed alone whether the portion sold contained the building, or whether that part remained with the seller. Confusion can be avoided by using the land tax books (see below) to trace the property instead.

For most localities, indexed deed books (in which the deeds were recorded) exist as well as the original documents. The state archives at the Library of Virginia holds many original records. In addition, microfilmed deed books through about 1865 are available for use in-house and on interlibrary loan.

For lists of the Library's holdings, *see* Suzanne Smith Ray, Lyndon H. Hart III, and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 County*

Records in the Archives Branch, Virginia State Library and Archives
(Richmond: Virginia State Library and Archives, [1994]) and Lyndon H.
Hart III and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 Municipal
Records in the Archives Branch, Virginia State Library and Archives*
(Richmond: Virginia State Library and Archives, [1987]).

5. Land Tax Records. Best location: LVA. Almost complete original records,
1782-present. Land taxes 1782-1850 have been microfilmed; film may be
borrowed on interlibrary loan.
Second best location: County and city courthouses. Records tend to be
spotty and incomplete.

Virginia's land tax records begin in 1782 and still are being compiled.
They are arranged alphabetically by county and independent city, then
chronologically. A given locality may have more than one tax book per
year; as the population increased the locality was divided into districts or
wards, each with its own volume. Within each volume the taxpayers are
listed alphabetically (until the 20th century by the initial letter of the last
name). Beginning in the 1880s they were grouped by race.

From 1782 to 1819 the records give the following information: name of
taxpayer; number of acres in tract; value per acre; total value of tract;
amount of tax; remarks. From 1820 to the present the records show the
following: name of taxpayer; county or city of residence; number of acres
in tract; value per acre; value added to property because of buildings; total
value of tract; amount of tax on land and buildings; remarks. In addition,
after 1819—and sometimes before—there are columns for the location of
the property ("Staunton River"; "Coles Hill"; "Woodlands"; "adj. [adjacent
to] Charles Carter") and its approximate distance and direction from the
courthouse ("12SE"="twelve miles southeast").

Of particular importance to researching a historic property are the columns
for the value added because of buildings and for remarks. If a building is
constructed on the tract it usually is noted in both columns. For instance,
an increase in the first column from $500 to $2,000 should be noted as
well as a comment on the order of "$1,500 added for new construction"
under remarks. If the property is sold or subdivided, the remarks column
usually notes that fact ("30 acres to Joseph Smith"). If the 30-acre tract is
what you are interested in, you will find it listed under "Smith, Joseph."

A warning: sometimes a change in the column for value added because of
buildings indicates a tax reassessment rather than new construction.
Statewide reassessments were made in 1817, 1819-1820, 1839-1840,
1850, 1856, 1870, 1872, 1875, and every five years thereafter. Do not
assume that an increase in the value added column during or just after

one of those years means new construction; check the remarks column for a clear statement to that effect. Look at other properties in the tax list; if their values also changed, then you are in a reassessment year. Remember that a decrease in the value added column does not necessarily mean that buildings were destroyed or demolished. It probably indicates a reduction in the value of an older building during a reassessment year.

What can you conclude from the values assigned to buildings? As a very rough rule of thumb, in the first half of the 19th century, a value of $500 or so might indicate a small story-and-a-half frame dwelling. A value of $1,500 or $2,000 could suggest an elaborate frame house or a relatively modest two-story brick dwelling that is one room deep. Values of more than $3,000 generally hint at mansion-sized houses, often of brick, two stories high, and two rooms deep on each story. The value declined as a house aged and deteriorated.

Churches and schools, which are owned by religious bodies and local governments, are not subject to taxation. The land tax books can still be of some use, however; if the land was conveyed by a private citizen to a congregation or school board, that transfer may be noted under the citizen's name in the year it took place. This notation may substitute for the missing deeds of a county that has lost its records through some disaster.

For more information about land taxes, *see* Library of Virginia, Archives Research Notes Number 1, *Using Land Tax Records*, available from the Library of Virginia.

6.   Family Histories. Locations: LVA; VHS; other libraries.

Two principal centers for genealogical research in Virginia, the Library of Virginia and the Virginia Historical Society, hold large numbers of published genealogies and family histories. In addition, their archives maintain family papers, Bible records and other documents. For the archival resources in the Library of Virginia, *see* Lyndon H. Hart III, *A Guide to Bible Records in the Archives Branch, Virginia State Library* (Richmond: Virginia State Library, 1985) and *A Guide to Genealogical Notes and Charts in the Archives Branch, Virginia State Library* (Richmond: Virginia State Library, 1983).

7.   Newspapers. Locations: LVA; VHS; VM; other libraries.

Although newspaper publishing in Virginia dates to the 18th century, and many papers have ceased publication over the years, there may be few

extant copies of early small-town newspapers. For a list of known copies of Virginia newspapers (as of 1936), *see* Lester J. Cappon, *Virginia Newspapers, 1821-1935: A Bibliography* (New York: D. Appleton-Century Co., Inc., 1936).

The Library of Virginia holds thousands of original newspapers, as well as copies on microfilm. To find out if a particular newspaper exists, write the Library.

Many libraries hold newspaper clippings under various subjects, or indexes to birth, marriage and death records published in the papers and abstracted by local historians and genealogists. Also, 19th- and 20th-century newspapers sometimes carried articles about ground-breaking or opening ceremonies for important commercial and public buildings, as well as photographs, drawings, and illustrated advertisements that may show you how an old mercantile structure looked when it was new. The articles and illustrations also may give the name of the architect or builder.

8.   Personal Papers. Locations: LVA; VHS; VM.

Letters, diaries, unpublished memoirs and other items comprise personal papers collections at several repositories. Perhaps the two largest collections in Virginia are found at the Virginia Historical Society and the Library of Virginia. These papers may tell you about the private and public lives of owners, the construction and maintenance of their houses and commercial buildings, and the operation of their farms and businesses. All of the repositories holding personal papers have guides or indexes to them for use in-house.

A frequent shortcoming of letters and diaries is that their authors often omit any mention of the familiar; a diarist may live in a house for years and yet never describe it directly. On the other hand, a traveler who keeps a diary or writes letters about his journey may comment at length on what to him appears unusual, often in highly opinionated and judgmental language. Look, then, for travelers' diaries and letters that pertain to your area; some may have been published in local historical society magazines.

9.   Personal Property Tax Records. Best location: LVA. Almost complete original records, 1782-present. The library began microfilming the tax books, 1782-1850, in alphabetical order by locality, but has not completed the project. The existing film is available on interlibrary loan.

Second best location: County and city courthouses. Records tend to be spotty and incomplete.

The personal property tax books can help you assess the relative prosperity of your building's owners based on personal property owned and taxes paid. The books give the following information: name of taxpayer; number of horses; number of cattle (during a few early years); number of slaves above age twelve (through 1863); other categories of taxes levied; and amount of taxes paid. Beginning in the late 19th century, taxes were levied almost exclusively on machinery, vehicles, and intangible personal property such as bonds. Usually the tax books also list by name the persons who received licenses to operate taverns, ordinaries, businesses and other occupations.

The categories of taxes levied on personal property in 1815 were increased significantly to pay for the War of 1812. Carriages, paintings, gold watches, billiard tables, and a wide variety of other items were taxed, making the tax books for this year a rich source of information concerning personal belongings. Also taxed were dwellings located in the country that were worth more than $500 (the number of dwellings and their value, or sometimes only the difference between $500 and their value, is given). This is the only year in which buildings were mentioned in the personal property tax books.

No tax books exist for the years 1808 or 1864. In 1808, the General Assembly ordered the commissioners of the revenue not to collect taxes that year. On 3 March 1864 the legislature suspended the revenue act because the treasury already held adequate funds.

For more information about personal property taxes, *see* Library of Virginia, Archives Research Notes Number 3, *Using Personal Property Tax Records in the Archives*, available from the Library of Virginia.

10.   Professional Directories. Locations: LVA; other libraries.

If you know the profession or trade of an owner of your house or commercial structure, he may be listed in a published directory of professions or trades. Many such directories have been printed, and each is a sort of *Who's Who* for a particular occupation. Besides outlining professional careers, the directories may give personal data as well.

11.   Vital Statistics Records. Locations: LVA.

The state did not begin keeping vital records (births, marriages, deaths) until 1853. Before then, birth and death records were maintained (if at all)

by churches (*see* CHURCH RECORDS). Marriage bonds, and in many cases records of marriages, were kept by county and city governments before 1853.

The Library of Virginia has microfilm copies of the state's records of births (1853-1896), marriages (1853-1935), and deaths (1853-1896). It also has indexes to the birth and marriage records, in the latter case by both groom and bride. No index to death records has been compiled.

Birth and death records were not kept by the state between 1897 and 1911. Beginning in 1912 for those records, and 1936 for marriage records, you must apply in person at the Department of Health in Richmond and pay a fee. Birth and death records are released only to relatives or lawyers; you can obtain copies if you submit a letter of permission from the family. For further information, write the Department of Health, Division of Vital Records, Madison Building, Richmond, VA 23219; or telephone 804-786-6228.

For more information about vital statistics records, *see* Library of Virginia, Archives Research Notes Number 2, *Using Vital Statistics Records in the Archives*, available from the Library of Virginia.

12.   Wills, Inventories and Estate Divisions. Best location: LVA.
        Second best location: local courthouses and clerks' offices.

Wills present the wishes of the deceased as to the distribution of his or her estate. Inventories list personal property, excluding land, and sometimes indicate the tract on which the property was kept, or the room in the house or commercial structure in which it was found. Divisions of estates, often made when there was no will or when a will was disputed by the heirs, often include land as well as other property. Sometimes plats are recorded along with the divisions.

For most localities, indexed will books (in which all the foregoing documents were recorded) exist as well as the original papers. The state archives at the Library of Virginia holds many original books and papers. In addition, it has microfilmed will books through about 1865, making them available for use in-house and on interlibrary loan.

For lists of the Library's holdings, *see* Suzanne Smith Ray, Lyndon H. Hart III, and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 County Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, [1994]) and Lyndon H. Hart III and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 Municipal Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, [1987]).

THE PRINCIPAL REPOSITORIES

1.   VIRGINIA DEPARTMENT OF HISTORIC RESOURCES
       2801 Kensington Avenue
       Richmond, VA 23221
       (804) 367-2323
       Hours: 8:30 A.M.-Noon; 1:00-4:30 P.M., Monday-Friday.   Closed on Saturdays
              and state holidays.
       Telephone inquiries?: Yes, but much better to come in person and review the
              files yourself.
       Custodian of the official state survey of Virginia's historic resources and
              archaeological sites. More than 140,000 files.

2.   LIBRARY OF VIRGINIA
       800 East Broad Street
       Richmond, VA 23219
       (804) 786-8929Hours: 8:15 A.M.-5:00 P.M., Monday-Saturday. Closed on state
       holidays.
       Telephone inquiries?: No, except for general questions about the availability of
              records; for specific research queries, you must come in person or request
              interlibrary loan microfilm if available.
       The research library at the seat of government and custodian of the official
              records of the Commonwealth.

3.   VALENTINE MUSEUM
       1015 East Clay Street
       Richmond, VA 23219
       (804) 649-0711
       Hours (for library use): 10:00 A.M.-Noon, 1:00-5:00 P.M., Tuesdays and
              Thursdays, **by appointment only**. Nominal fee.
       Telephone inquiries?: Yes, but much better to visit in person.
       The museum of the city of Richmond, it includes artifacts, a library, a photo
              archive, and a manuscript collection.

4.   VIRGINIA HISTORICAL SOCIETY
       428 North Boulevard
       Richmond, VA 23221
       (804) 358-4901
       Hours: 10:00 A.M.-5:00 P.M., Monday-Saturday; galleries only, 1:00-5:00 P.M.,
              Sunday. Closed most holidays. Nominal fee.
       Telephone inquiries?: Yes, but much better to come in person or to request films
              and books through interlibrary loan.
       Called "The Center for Virginia History," the Virginia Historical Society includes a
              historical museum, a library, and a large manuscript collection. Many of
              the manuscripts are cross-referenced in card catalogs.

5.   LOCAL REPOSITORIES

In addition to the repositories listed above, you may need to visit others locally to see specific public records. Building permits typically are found at city or town halls. Court records, deeds, wills, and the like that are not in the state archives at the Library of Virginia (on film or in the original) are maintained at the clerks' offices in Virginia's county seats. Some local government offices will answer telephone inquiries, but many are so busy that you are better advised to write or visit the office yourself. Many local libraries (public, university, or collegiate) have area history rooms or collections. Similarly, county or city historical societies or museums may hold photographs, newspaper files, and other information about area businesses, houses, churches, schools, and other buildings.

CHAPTER 3

**HOW TO USE HISTORIC CONTEXTS IN VIRGINIA
A GUIDE FOR SURVEY, REGISTRATION, PROTECTION AND TREATMENT
PROJECTS (1992, REV. 1998)**

Introduction:

When conducting field work and documentary research, and writing site forms, reports or publications, all research projects in Virginia should be planned, conducted, and summarized according to the system of statewide "historic contexts" defined by the Virginia Department of Historic Resources as a part of the Virginia Comprehensive Preservation Planning Process, in accordance with the Secretary of the Interior's Standards for Preservation Planning. In order to evaluate and protect significant historical properties, it is essential to link them with other similar examples and with the broad patterns of the state's history from prehistoric times to the present. We study historic properties because these buildings, archaeological sites, districts and objects represent aspects of our development as a society over time in many fields--ranging from the history of agriculture in Virginia to the development of transportation systems in the State.

Historic contexts can be defined on many levels and for many purposes--to provide information for an inventory site, a National Register nomination, a compliance survey of a project area, a county or regional survey or a thematic study. Regardless of the scope, the approach is the same: to place historic properties within the context of the broad patterns of history that created them, and to place any one example within a larger group of similar properties. For example, in order to understand and evaluate one historic railroad station in a Virginia community, it is essential to compare the station to other examples of its type and period both within the area and across the state. The stations as a group should be considered within the context of the history of rail transportation, both locally and in terms of the development of the state's railroad system.

By using the system of standardized historic context headings developed by the VDHR, any property can be placed within its appropriate context--by region, thematic area and historic period. Research publications should also use these categories as standard headings to organize information by region, time period, theme and property type. With this standardized approach to collecting and analyzing information about Virginia's cultural and sites, we can begin to understand the data now available on historic properties, work to fill in the data gaps, and improve our basis for preservation decision making.

A STEP-BY-STEP APPROACH FOR RESOURCE-BASED DECISIONMAKING

1. Identify the region(s) in which the historic property or project area is located.

Given the remarkable wide variability of prehistoric and historic development across Virginia, the most basic level used by the Department of Historic Resources in making preservation planning decisions is the region. For the purposes of Virginia's comprehensive preservation planning process, eight cultural/geographic regions have been defined, all of which closely align with major physiographic province boundaries of the state and individually have general utility for representing major prehistoric and historic trends across the Commonwealth. The eight regions are as follows: Northern Virginia, Upper Coastal Plain, Lower Coastal Plain, Eastern Shore, Upper Piedmont, Lower Piedmont, Valley, and Southwest Virginia. By design, all regional boundaries respect existing county lines to enhance the integration of specific county and city preservation plans with regional plans. They are also defined to correspond generally to the statewide planning framework represented by Virginia's 21 planning district commissions. While the buildings, townscapes and landscapes of all regions have many common features, the distinctive qualities of each contribute significantly to the cultural vitality of the Commonwealth. Definition of a regional basis for historic contexts in Virginia's comprehensive planning efforts is designed to recognize and affirm the diversity in Virginia's cultural landscape. Today as in the past, the Valley is a different place in which to live and work than the Lower Piedmont or Eastern Shore. In developing a broad regional perspective on the state's historic resources, the Department recognizes that the process of identification often relies on survey efforts that are confined to a single project or jurisdiction. For a brief descriptive overview of each these eight regions, see Appendix A.

2. Identify the time period(s) when the known or predicted historic site(s) gained significance.

If a report is to be produced, use these periods as major organizational headings for discussing the history of the region, project area and site. The following sequence of time periods have been broadly defined as a basis for understanding prehistoric and historic cultural developments:

Prehistoric Native American Settlement

Archaeologists have divided prehistoric Native American settlement in Virginia into three general periods. They include the Paleo-Indian period from ca. 9,500-10,000 B.C. to 8,000 B.C., the Archaic period from ca. 8,000 B.C. to 1,000 B.C., and the Woodland period from ca. 1,000 B.C. to A.D. 1,600. The Archaic and Woodland eras can be further sub-divided into early, middle and late periods.

Paleo-Indian (10,000 B.C. - 8,000 B.C.)

Early Archaic Period (8,000 B.C. - 6500 B.C.)

Middle Archaic Period (6,500 B.C. - 3,000 B.C.)

Late Archaic Period (3,000 B.C. - 1,200 B.C.)

Early Woodland (1,200 B.C. - 300 A.D.)

Middle Woodland (A.D. 300-1000)

Late Woodland (A.D. 1,000 - A.D. 1600)

Settlement to Society (1607-1750)

A. Contact Period
B. Rise of the plantation system and the peculiar institution of slavery
C. Pioneer Era of Western Virginia

Colony to Nation (1750-1789)

Early National Period (1789-1830)

Antebellum Period (1830-1860)

Civil War (1861-1865)

Reconstruction and Growth (1865-1917)

World War I to World War II (1917-1945)

The New Dominion (1945- Present)

For a brief descriptive overview of each of these major periods of prehistoric and historical developments, see Appendix B.

3. Identify the relevant theme(s) for your type of historic property. Organize the history of the property or project area by addressing any relevant themes under the broader time divisions.

Eighteen cultural themes of interest both to researchers and resource managers have been defined for Virginia's material cultural history from prehistoric times to the present for the purposes of Virginia's comprehensive preservation planning process. They include Domestic; Agriculture/Subsistence; Government/Law/Political; Health Care; Education; Military/Defense; Religion; Social; Recreation/Arts; Transportation; Commerce/Trade; Industry/Processing/ Extraction; Landscape; Funerary; Ethnicity/Immigration; Settlement Patterns; Architecture/Landscape Architecture/Community Planning; Technology/Engineering; and Other Themes.

This thematic framework is the major conceptual element common to all eight regional historic contexts defined by the State Preservation Planning process; however, it can be applied to any geographical area, small or large urban area, county, subregion, or region. These themes together with their associated property-types offer not only a comprehensive set of research fields for scholars but also a useful framework for the basic task of historic resource management: establishing goals and priorities for identifying, evaluating, registering, and protecting historic, architectural, and archaeological resources, and achieving those goals through the broader planning process.

For a brief description of the research fields with examples of related property-types associated, see Appendix C:

4. Thus, the historic context for a particular property is defined by:

<p align="center">REGION/TIME LIMITS/THEME</p>

Example:

   For a grist mill, built in 1810 and located in Fairfax County, the primary context is:

"Industrial history of the   Northern Virginia region in the period 1789-1830."

Since mills were integral to the agrarian economy of Northern Virginia, agricultural, commercial and transportation developments in the same period are related historic contexts that may be important to understanding the property. The industrial theme is primary, however, because mills are identified in our state planning framework as an industrial property type both by function and use.

Use this kind of context heading to place your property in context and to organize the results of your research.

5. Create the historical background for studying your historic site or project area, by describing those trends in settlement, cultural change, economic life, technology

etc. that are appropriate and relevant to the identification of historic properties by the relevant period(s) of significance.

Consult the Department's archives for existing historic context documentation that may be appropriate. Particularly useful are the Department's series of county-wide survey reports and unpublished cultural resource management reports, as well as National Register documentation for similar property types or for other properties in the region.

6. Once this historical background has been described, then think about how your type of property relates to the context.

What role, for example, did grist mills play in the agricultural life of Fairfax County in this period?

7. Evaluate the level of knowledge of the property type and the theme. Are there data gaps?

Describe past research and survey work for the type. Consult VDHR archives for information in assessing the completeness of the database (survey, NR) for the property type and theme. How would this property or research project contribute to filling any data gaps?

8. Describe the property type in terms of locational patterns, geographic distribution, and estimated numbers of examples in the county or region.

Use sources such as historic census data, directories, historic maps and atlases, and publications or local history.

a)   Where are the properties relevant to human occupation located and why? Discuss those relevant environmental features, settlement patterns, transportation systems and other factors that may have influenced the location of this property type in the area under study.

b)   If possible, estimate the number of these properties in existence at the time of significance.

c)   Describe locations and estimate numbers of surviving examples today. Discuss reasons for the loss of these properties over time. (Compare by using historic and present day census data, documentary sources and maps; consider any test sampling or predictive models which could be applied).

9. Discuss the character-defining features of the property type, and requirements for integrity.

How does your property compare in terms of expected characteristics and levels of integrity? Also note whether there are any exceptional features, since there may be variety within a property type. Consult VDHR archives for information in assessing the integrity thresholds for various property types. Particularly useful is National Register documentation for similar property types.

10. How does your property compare to other examples of the type in the region and time period?

11. What kinds of stresses are affecting the loss or survival of this type of property in the region and what is the level of urgency?

Refer to the State Preservation Planning Framework and the Department's growing body of regional and local preservation planning documents for description of stresses threatening historic properties in Virginia generally, in the region, and in the locality.

12. What kinds of preservation goals should be sought for this property type in your area?

What should be appropriate protection and treatment recommendations for the property type? How do further study and protection of this particular example help meet these goals? (The level of detail for goals and recommendations will vary, depending upon the project.)

Recommended goals for:

  a) Identification (research, survey activities)

  b)   Evaluation (analysis of historical significance and other social and economic factors, assessment of integrity, evaluation of eligibility for the National Register)

  c)   Protection and treatment (preservation in place, avoidance, rehabilitation, adaptive reuse, data recovery and recordation, public interpretation)

See the Department's collection of preservation planning documents for material on protection programs and recommendations, some of which may be applicable on the local and regional levels. The State planning framework also contains statewide preservation goals and objectives, which may also be of use.

APPENDIX A

REGIONAL DIFFERENCES: GEOGRAPHY AND CULTURE

<u>Northern Virginia</u>

Northern Virginia is less a geographical region than a cultural one. It is bounded on the east and north by the Potomac River, on the south by the Rappahannock River, and on the west by the western boundaries of Fairfax and Prince William counties. Geographically, it is part of the Virginia Piedmont. Its cultural orientation, however, is across the Potomac River toward Washington, D.C.

Historically, this region was part of the Northern Neck Proprietary, which King Charles II granted to seven of his supporters in 1649, and which Thomas Fairfax, sixth baron Fairfax of Cameron, owned after 1690. The 5.3 million-acre tract included that part of the Upper Tidewater region that lies between the Rappahannock and Potomac rivers. The settlement of the Proprietary generally progressed from the Tidewater to the Blue Ridge boundary of the Piedmont.

The European settlers of the region followed the Tidewater example and established semi-autonomous plantations with a few courthouse villages among them rather than towns. An exception was the port town of Alexandria, which grew up around a tobacco warehouse and was established as a town in 1749. It remained a thriving port into the nineteenth century.

This region, culturally, was an interesting blend of near-Tidewater on the east and near-Valley on the west. It is a transitional zone that has derived its cultural orientation from the Valley, from Maryland, and since the establishment of the nation's capital in 1789, from Washington, D.C. Indeed, the planners of the new capital annexed present-day Alexandria County in 1789; the federal government ceded it back to Virginia in 1846.

During the Civil War, military strategists considered Northern Virginia of primary importance because of its proximity to the capital. Union forces occupied the region to safeguard the capital and Confederates marched against it to threaten the seat of government. The two sides fought several crucial battles there, especially in Prince William County at Manassas. The several railroad lines and turnpikes that led from Washington to the Valley and other parts of Virginia underscored the region's strategic importance.

Despite its location, Northern Virginia remained primarily agricultural until fairly recently. The enormous growth of government in Washington, which spurted during the Depression and World War II and has continued ever since, prompted a corresponding development of the region. At first that development was confined to the localities adjacent to the District, and as a result the rural environment of Alexandria, Arlington, Fairfax, and much of Prince William has disappeared.

<u>Upper Coastal Plain</u>

This region is the greater part of the sandy coastal plain between the Atlantic Ocean and the fall line, an imaginary line running roughly from northeast to southwest and crosses the rivers of eastern Virginia at the points where they cease to be navigable. It lies south of the Potomac River, west of the Chesapeake Bay and extends southward to the North Carolina-Virginia line, excluding the area described below as <u>Lower Coastal Plain</u>. It does not include the Eastern Shore, which is considered for state preservation planning purposes to be a separate region.

The first European settlers in Virginia established their colony in this region, at Jamestown. From there the colonists spread westward to the vicinity of present-day Petersburg during the seventeenth century. It was in this region that the colonists combined the culture of tobacco with slavery to create the Chesapeake society that dominated Virginia well into the eighteenth century. It was also there that the first institution of higher education in Virginia, the College of William and Mary, was established in 1693.

Geography influenced the development of that society. The colonists took advantage of the many slow-flowing, navigable rivers and streams in the region to establish individual farms and plantations that could be reached by ocean-going vessels. Because each plantation became in effect a nearly self-sufficient village, real villages and towns were virtually nonexistent until the mid-eighteenth century. What few villages there were grew up around courthouses and crossroads stores. Even Williamsburg, the colony's capital after 1698, was a half-deserted town when the House of Burgesses was not in session.

As the eighteenth century wore on, however, several towns developed as centers for trade with Europe and with the Indians. The seaport town of Norfolk, for example, grew in size and influence, as did Petersburg on the Nottoway River and, slowly, Richmond on the James River. The rivers served as highways to the frontier for settlement as well for trade, and roads remained notoriously poor and rough. The region's geography and culture made it perhaps the most sophisticated part of the colony in the eighteenth century. Here were born Washington and Madison, who lived as youths in the midst of great plantations and such commercial villages as Urbanna, Port Royal, and Tappahannock along the rivers. Their early exposure to wealth and commerce may have broadened their world views relative to their counterparts in the more distant reaches of the colony.

During the American Revolution and the Civil War this region of Virginia became a center of military activity. Battles occurred up and down the Peninsula between York River and James River, from Hampton to Richmond. The effective end of the revolutionary war came at Yorktown in 1781, and the Peninsular Campaign of 1862 brought the armies of the Civil War from Fort Monroe to the eastern defenses of Richmond. During the Revolution the capital of Virginia moved from Williamsburg to Richmond, which also served as the capital of the Confederacy during the Civil War.

The Upper Coastal Plain has remained the most heavily settled part of the state, although since World War II the Northern Virginia region has grown significantly in size and influence. The Newport News-Hampton-Norfolk-Portsmouth area continues to be the primary seaport of Virginia, with much of its economic prosperity dependent upon the presence of the United States Navy and the Newport News Shipping and Drydock Company. Even with all the adjacent development, however, the interior of the region remains agriculture-centered, with peanuts and hogs the dominant products.

The general cultural orientation of inhabitants of the Upper and Middle peninsulas of the Upper Coastal Plain has been toward the Chesapeake Bay. They too developed a tobacco-based plantation society along the rivers and streams that feed into the bay. With so many watery highways available, from an early period the settlers of the region traded with Maryland and eastern Pennsylvania. This cultural orientation has contributed to this northern area's relative isolation from the rest of the state, as has its small population, few towns, few heavily traveled roads, and few railroads. Although the northern rivers of the Upper Coastal Plain still flow to the bay, the day of their use as a means of transportation and commerce, which contributed materially to the growth of Fredericksburg and a few other towns along the Rappahannock River, is past. During the Civil War the northern area of the Upper Coastal Plain, except for the Fredericksburg vicinity, remained relatively unscathed by the conflict. After the war the eastern section of the region bordering the bay experienced renewed prosperity as the national demand for seafood increased.

The seafood industry of the Upper Coastal Plain survives to the present day and is centered on crabs, oysters, and scallops. The sea life in the bay is threatened, however, by the pollution resulting from development as well as the chemicals used in farming. The western part of the region, on the other hand, is increasingly pressured by development along the Route 95 corridor.

Lower Coastal Plain

The Lower Coastal Plain is defined geographically by its river systems, which drain into the Carolina sounds rather than into the Chesapeake Bay. It extends from the fall line on the west to the Blackwater River along the eastern and northern boundaries of Sussex and Southampton counties. Geographically as well as culturally it is similar to the Upper Coastal Plain, except that its society has had a greater degree of social and economic interaction with inhabitants of the area known today as North Carolina than did the people of the Upper Coastal Plain.

Eastern Shore

The Eastern Shore is part of the Delmarva Peninsula of the Atlantic Coastal Plain. It is bounded by the Chesapeake Bay to the west and the Atlantic Ocean to the east. The lowland region's deep, sandy soils have favored the cultivation of crops such as corn and tobacco, soybeans and berries. Its natural situation between the Bay and the ocean has favored the growth of the seafood industry.

The economic and political evolution of the region has followed closely the pattern of development in the Upper Coastal Plain. However, in cultural terms, the Eastern Shore is associated more closely with Maryland than with the rest of Virginia. The construction of the Chesapeake Bay Bridge-Tunnel in 1964, connecting the mainland and the Eastern Shore, marked the symbolic end of the region's separation from the urbanizing influences of Norfolk.

Upper Piedmont

Piedmont Virginia is that area of rolling hills between the fall line and the Blue Ridge. Upper or north side Piedmont lies north of James River and south of Rappahannock River.

European settlement of the Piedmont, especially the Upper Piedmont, began in earnest near the end of the seventeenth century. By the end of the first half of the eighteenth century several new counties had been formed. As in Tidewater Virginia, from which most of the settlers emigrated, tobacco soon dominated the regional plantation society. By and large the new settlers endeavored to replicate the society they had known; their success is evident in the material culture, such as the dwellings, they left behind.

In the early nineteenth century the Piedmont replaced the Tidewater as the state's tobacco belt. Although the country is well watered, few of the rivers are navigable without such improvements as dredging or canal construction. The region became a major focus of the state's internal improvement program, and prospered as canals, turnpikes, and railroads were built.

Several of the small courthouse villages grew into towns during the antebellum period because of the transportation improvements, and entire villages sprang into being at rail junctions. The relative decline of Tidewater and rise of Piedmont on an economic and agricultural level was mirrored on the intellectual level by the decline of the College of William and Mary and the establishment of the University of Virginia at Charlottesville.

During the Civil War the Upper Piedmont was fought over by both sides as they struggled to control lines of supply and communication. For several winters the armies camped in the area, particularly in Orange and Culpeper counties. They fought several of the major engagements of the war, such as Fredericksburg, Chancellorsville, and Wilderness, in this region.

The region resumed its quiet rural ways after the war. Little growth occurred until the late twentieth century when improved highways and a passenger rail system allowed commuters to work in Northern Virginia or Washington and reside in such towns as Frederickburg and Culpeper. Routes 29 and 95, as is usually the case, serve as development corridors that threaten not only the historic resources of the region, but the historic uses of the land as farmland is transformed into clusters of houses.

In the northern reaches of the region, Loudoun and Fauquier counties have remained greenbelts into which prosperous government officials disappeared on weekends to putter around farms and country estates, or to raise horses and chase foxes. Now, however, the rural character and historic resources of these counties are threatened by the press of the development that followed in the wake of such transportation routes as Interstates 66 and 95, and will most surely accompany the proposed Washington bypass.

Lower Piedmont

Lower or south side Piedmont is bounded on the north by James River and on the south by the Virginia-North Carolina line. It lies between the fall line and the Blue Ridge.

Lower Piedmont remained frontier longer than Upper Piedmont. By the early eighteenth century Europeans were trickling into the area, but the colonial government restricted settlement because the region was close to the Native American villages that received periodic attacks from Indians to the north and south. As the threat of warfare diminished the government allowed access to the region. Settlement occurred in two great waves--in the 1740s and early 1750s, then again in the mid-1760s--separated by the French and Indian War, when the pioneers abandoned much of the area.

Relatively few settlers came from the Lower Tidewater region directly to the east. Most instead emigrated from Upper Tidewater and Upper Piedmont. Significant numbers of Germans and Scotch-Irish settled in the western part of the region as those ethnic groups emigrated from Pennsylvania to the Carolinas.

As a result of these early settlement patterns, the region contains an interesting mix of cultural, as well as geographical, diversity. The eastern part of the region resembles Tidewater more closely than it does Piedmont, while the western portion has much in common with the Valley and Southwest Virginia. Both the eastern and central sections are tobacco-growing areas, while the western part possesses more general and dairy farms.

The two largest and most important towns in the region are Lynchburg and Danville. Lynchburg began as a late-eighteenth-century tobacco warehouse town; Danville dates its prosperity to the expansion of the tobacco industry a century later. Historically, Lynchburg served as the region's outlet or gateway to the northern parts of Virginia, while Danville was the door to North Carolina. Today, because of transportation improvements and the rise of Roanoke, these roles have been diminished.

The region has never relied totally on agriculture for it's living, and does not do so today. Significant industries have included, at one time or another, iron manufacturing (Franklin County); slate quarrying (Buckingham County); furniture manufacturing (Henry County); and mineral mining (Pittsylvania County).

The Civil War affected the region but little, except for the Battle of Lynchburg in 1864, and

some cavalry raids and the surrender at Appomattox a year later.

In recent years the area has been the subject of two important changes. Industrial development has occurred at an increasing rate around such courthouse towns as Rocky Mount and Martinsville, as well as around such older cities as Danville and Lynchburg. Recently the region has experienced significant growth around Smith Mountain Lake (Bedford and Franklin counties) as that area becomes the major recreation and retirement center of the region. As development occurs and the population increases, the region is likely to experience the same pressures for additional services and better transportation routes as other regions, with resulting adverse effects upon historic resources and the rural landscape.

Valley

The Valley of Virginia lies between the Blue Ridge and the Allegheny Mountains. It actually is a series of river valleys separated by ridges of various heights. The watercourses in the Valley flow from south to north; therefore, to travel "up" the Valley is to travel south. The Valley extends from the Potomac River in the north to the Botetourt County-Roanoke County line in the south. The lower, or northern, half of the Valley is called the Shenandoah Valley.

During the Paleozoic the Valley region was a seabed. The same tectonic activities that formed the Blue Ridge caused the uplifting, faulting, and folding of the bed into the series of valleys and steep ridges that are present today. The general direction of the Valley is from northeast to southwest; gaps in the Blue Ridge allow access to the Valley from the Piedmont.

The cultural history of the Valley, perhaps more than any other region of Virginia, has been influenced by its geography. Native Americans used it as a major trade route between present-day Georgia and New York. With the Blue Ridge and its gaps serving as a barrier and filter to migration from eastern Virginia, and with the topography of the Valley trending into the heart of Pennsylvania, most of the early European settlers came into the region from the colony to the north. These pioneers tended to be German and Scotch-Irish rather than of English stock because those nationalities emigrated from the Old World to the New about 1700 or later, after the English colonists had occupied much of the best farmland in the Pennsylvania low country. Moving westward, they found that the mountain barriers of Pennsylvania funneled them into the Valley. By the mid-eighteenth century the Valley and its Great Wagon Road formed the primary migration and transportation route between Pennsylvania and the backcountry of the Carolinas.

Many German and Scotch-Irish immigrants settled in the Valley during the century because of the rich farmlands they found there. They used the native limestones to construct their houses and farm buildings; the built environment they created is as distinctive a visual component of the Valley as its geography. By the early nineteenth century the Valley had become the principal grain-producing region of Virginia. Such internal improvement

projects as the Valley Turnpike, which was constructed along the route of the earlier Wagon Road, provided improved transportation between farm and market town, thereby increasing the prosperity of the region.

The richness of its soil and its geography conspired to make the Valley a place of great strategic importance during the Civil War. After the Confederate army commanded by Major General Thomas J. ("Stonewall") Jackson cleared the Valley of Union forces during his Shenandoah Valley Campaign of 1862, the Confederates had a clear passage to Washington and the North behind the concealing wall of the Blue Ridge. In 1864, however, the Union army under Major General Philip H. Sheridan recaptured the Valley, defeating a greatly outnumbered Confederate army led by Major General Jubal A. Early. Sheridan's scorched earth policy devastated the "Breadbasket of the Confederacy," and gave the Union army access to the rear of Lee's army through the gaps in the Blue Ridge.

The Valley experienced a rapid recovery after the Civil War, due in part to the richness of its soil and in part to the renewed exploitation of its mineral wealth. During the antebellum period the region had a thriving charcoal iron industry, and afterward ironmasters constructed new furnaces. The industry eventually declined because even the new works could not compete with the muscular Northern industry that the war had created.

By the early twentieth century the Valley had settled back into a predominantly rural existence. In recent years, however, the growth of Northern Virginia and the Washington, D.C., area and the construction of such interstate highways as Routes 81 and 66, have

spurred development in the lower Valley. The metamorphosis of that part of the region into a bedroom suburb of Northern Virginia and the nation's capital constitutes the single greatest threat to its historic resources.

Southwest Virginia

Southwest Virginia extends from Roanoke County to Cumberland Gap and contains mountains, valleys, ridges, and plateaus. It is bounded on the east by the Blue Ridge and on the south by the Virginia-North Carolina line. Generally the northern part of the region is flatter than the southern portion, which is extremely hilly. Although there was some European settlement in the area during the colonial period, it was more commonly used as a migratory route: the Wilderness Road led from the upper Valley to Cumberland Gap and Kentucky through the region.

Culturally, Southwest Virginia probably has more in common with eastern Tennessee and Kentucky than it does with either the Tidewater or Piedmont regions of Virginia. This is particularly true of the southwestern part of the region, where the scarcity of farmland and the economic dominance of the timber and coal industries have produced a cultural environment unique in the state. Company towns inhabited by coal miners are sprinkled through a country where tiny farmsteads are tucked away in mountain hollows.

The limited economic resources of the region have contributed to the dramatic alteration of the landscape. Farming on steep slopes, the occasional clear-cutting of timber, and intensive strip mining have resulted in erosion and the clogging of streams. The other industries of the region, such as the textile and garment mills of Galax and Hillsville, have had less serious effects on the environment.

The region is anchored at each end by two large cities: Roanoke on the north and Bristol to the south. Roanoke is the rail center of the area and serves as the gateway to the Valley and the rest of the state. Bristol is the door to eastern Tennessee and western North Carolina.

Except for the economic development of such cities as Bristol, Roanoke, Wytheville, Marion, and some others, there are relatively few development threats to the historic resources of the region. Instead, destruction through neglect because of the poverty and remoteness of the area seems more likely.

APPENDIX B

THE AXIS OF TIME: TEMPORAL BOUNDARIES OF THEMATIC CONTEXTS

Because the study of Virginia's diverse cultural regions reveals patterns of historical development that are unique to each region, chronological frameworks for historic contexts can vary considerably from region to region and even from county to county. Moreover, periodization of Virginia's educational history varies considerably from that, for example of the industrial, transportation, or religious history of the Commonwealth.

Based on survey and planning work accomplished in Virginia since the State Historic Preservation Office initiated statewide comprehensive preservation planning, the following sequence of time periods have been broadly defined as a basis for understanding prehistoric and historic cultural developments:

Prehistoric Native American Settlement

Archaeologists have divided prehistoric Native American settlement in Virginia into three general periods. They include the Paleo-Indian period from ca. 9,500-10,000 B.C. to 8,000 B.C., the Archaic period from ca. 8,000 B.C. to 1,000 B.C., and the Woodland period from ca. 1,000 B.C. to A.D. 1,600. The Archaic and Woodland eras can be further sub-divided into early, middle and late periods.

Representing the initial occupation by Native Americans of Virginia, Paleo-Indian lifeways were characterized by nomadic bands displaying a heavy emphasis on hunting supplemented by general foraging. Climatic conditions substantially cooler than those associated with subsequent periods greatly influenced Paleo-Indian adaptations. While Paleo-Indians are known to have lived in all regions of Virginia, well preserved archaeological sites dating to this time period are extremely rare. This is a result of both the great age of such sites (being more than ten thousand years old) and very low population density likely characteristic of Virginia during this initial period of settlement. In spite of such rarity, two complexes of Paleo-Indian sites, Flint Run and neighboring sites in Warren County and Williamson and neighboring sites in Dinwiddie County, have proven to be nationally significant for archaeological studies on early man in the New World. Recent archaeological discoveries at the Cactus Hill site in Sussex County indicate that Native Americans may have been in Virginia as early as 15,000 -16,000 years ago. While such early settlement has not yet been identified at other Paleoindian sites, this possibility should be considered for any discussion of the Paleoindian period.

During the seven thousand years encompassing the Archaic Period, Native American populations greatly increased, adapting to the many differing and changing environmental zones found in Virginia. While still dependent on wild plants and animals to meet subsistence needs, there also is evidence of increasing sedentism as estuarine and floodplain locales are more intensively utilized. Archaeological sites are substantially more common than for the earlier Paleo-Indian period, representing a complex mosaic of

settlement types across Virginia over this long period of time. While such changes are not unique to Virginia, the effects of environmental diversity on hunting and gathering adaptations as well as the causes of the rise of sedentism are, nevertheless, areas of national significance in archaeological research.

Early Archaic Period (8,000 B.C. - 6500 B.C.)

Middle Archaic Period (6,500 B.C. - 3,000 B.C.)

Late Archaic Period (3,000 B.C. - 1,000 B.C.)

During the Woodland Period, substantial changes occur in the life ways of Native Americans in Virginia. Populations continue to rise, being associated with increased sedentism. By ca. A.D. 1,000, agriculture is supplementing subsistence needs formerly met solely through the use of wild plants and animals. Settlements become larger with semi-sedentary villages encompassing as many as a hundred or more people now appearing throughout Virginia. As populations increase, new means of organizing societies are required. Thus, tribes appeared in portions of Virginia replacing bands. While similar to bands found in earlier periods in that leadership was typically based on ability, tribes, nevertheless, involved a larger number of kinship groups with new means developed to better unite these groups. This was followed in restricted areas by chiefdoms where economic, socio-political, and religious offices were coordinated through a central authority based on formal rules of inheritance. Such a centralization of inherited authority appears to be closely related to continued population increases. Most noted is the Powhatan chiefdom, which by the beginning of the seventeenth century A.D. had a population of probably over 13,000 persons and encompassed most of the Coastal Plain. Other chiefdoms likely occurred in southwest Virginia and possibly other areas of the commonwealth. Archaeological research on chiefdoms has proven to be of national significance for studies on cultural evolution.

Early Woodland (1,000 B.C. - 300 A.D.)

Middle Woodland (A.D. 300-1000)

Late Woodland (A.D. 1,000 - A.D. 1600)

Settlement to Society (1607-1750)

A.   Contact Period
      By the early seventeenth century A.D., following the establishment at Jamestown of the first permanent English settlement in America, the character of the Virginia landscape began to change dramatically as the result of European habitation. Over the next four centuries, this change is associated with events often of national significance across Virginia, clearly manifested in surviving archaeological, historical, and architectural resources in the commonwealth.

Virginia's role as England's first permanent settlement in the New World is well known. Enduring hardships and hostile elements beyond the imagination of modern Virginians, a small group of settlers laid the foundations of a new civilization in Virginia's tidewater. Closely intertwined with the growth and expansion of the English in Virginia were interactions with indigenous Native Americans, contacts that were to eventually destroy traditional life ways that had slowly evolved over some ten thousand years of Native American settlement here; the rest are now a scattering of archaeological sites as is the case for contemporaneous Native American communities so adversely affected by contact with English society.

During the contact period a small band of European adventurers laid the foundations of a new civilization in Virginia's Tidewater. As in any frontier society, most settlers lived simply, and little visible evidence of their first century of occupation remains. Their original rough wooden houses, often constructed on posts driven directly into the ground, have not survived. Only a few exceptionally well-built structures such as Bacon's Castle in Surry County and St. Luke's Church in Isle of Wight County stand today.

B.   Rise of the plantation system and the peculiar institution of slavery

Both the plantation system and the institution of slavery that sustained it evolved from rudimentary beginnings in the early seventeenth century. The first blacks who appeared in Virginia in 1619 most likely were not slaves but indentured servants. The concept of slavery took hold gradually in English America during the course of the century. The culture of tobacco required great amounts of labor, which at first was available as economic conditions in England prompted emigration to the New World. As the century wore on, however, conditions in the mother country improved somewhat and this factor, coupled with the availability of cheap land in Virginia, meant that Englishmen were less available or inclined to work for another. As the flow of indentured servants slowed, the number of blacks stolen or purchased from their captors in Africa increased. Cultural differences and racism combined to encourage the replacement of temporary servitude with permanent slavery. By the end of the century the institution was well established.

Although the cultivation of tobacco was a complex process, using it to achieve economic success relied on a simple formula: a large tract of land planted in tobacco and cultivated with a large labor force resulted in more money for the planter than a small amount of land and a small labor force. The byproduct of this formula was the plantation system, which evolved in Tidewater Virginia in the seventeenth and eighteenth centuries. Large plantations, each with its own dock for ocean-going vessels, sprawled along the shores of the many navigable rivers and streams that fed into Chesapeake Bay. A few towns were necessary to serve courthouse complexes and tobacco warehouses, but by and large each plantation was a nearly autonomous entity.

The resulting economic ascendancy of Virginia in the early and mid-eighteenth century is illustrated most conspicuously by its great colonial plantations and by the larger number of

more modest houses as well as surviving examples of colonial churches and courthouses. Most people, of course, lived far more plainly and in more perishable dwellings. The surviving large mansions and their associated dependencies, outbuildings, and gardens, situated along the great tidal rivers, represent some of the nation's finest achievements in colonial design and craftsmanship. Being in the forefront of the development of the American southern plantation system, Virginia's surviving resources of this period possess outstanding archaeological, historical, and architectural value.

Simultaneous with the evolution of the plantation system and slavery during the seventeenth century, the colonists developed other institutions that supported the society they had created. These included the ecclesiastical structure of the established church and a system of self-government that included the House of Burgesses and local courts that exercised executive as well as judicial powers.

C.   Pioneer Era of Western Virginia

Beginning in the seventeenth century and continuing through the eighteenth century, Virginia played a leading role in early English efforts to extend the frontier westward into the interior of North America. In Virginia, this process involved the emigration of settlers from the Tidewater into the Piedmont and Valley regions. Though smaller in scale than Virginia's large coastal plantations, the frontier farms and their associated historic resources document a significant and crucial phase of our history.

Just as the first settlers at Jamestown brought with them the culture and institutions of England, the pioneers of Piedmont expansion sought to transplant the basic units of government, society, and economy that had evolved in Tidewater. Those institutions included representative government in the House of Burgesses, a county court system that possessed executive as well as judicial powers, an established religion with an ecclesiastical structure epitomized by churches and glebe houses, stores and workshops, and small villages centered on tobacco warehouses and tradesmen.

As the English settlers and their institutions moved progressively westward from the Tidewater through the Piedmont and into the Valley, they encountered substantial numbers of German and Scotch-Irish and Germans pioneers. These settlers had moved into the Valley and backcountry of the Piedmont mostly from Pennsylvania, and had brought with them non-English services of worship and non-Tidewater forms of domestic and farm architecture.

The Germans established farms and villages in the Shenandoah Valley by the mid-eighteenth century. Unlike the English and Scotch-Irish settlers, who preferred brick and wood frame for their buildings, the Germans made extensive use of stone and log construction and continued to use room arrangements employed by their Continental forebears. Evidence of German influence survives especially in the central Shenandoah Valley in Augusta, Page, Rockingham, and Shenandoah counties, and in Wythe County in Southwest Virginia.

Colony to Nation (1750-1789)

This period saw the emergence of Virginia's planter-statesmen as founders of the Commonwealth and of the United States.

The diversity of cultures in the Virginia colony, as well as the colonists' experience with self-government, eventually resulted in a parting of the ways with the mother country. This Revolution, as John Adams later wrote, occurred in the hearts and minds of the people long before the first shot was fired.

Virginians played essential roles in both the political and military phases of the war, including the struggle for nationhood that followed the conflict. Many of the nation's founding fathers called Virginia home: George Washington, Thomas Jefferson, Patrick Henry, the Lees, James Madison, George Mason, Carter Braxton, George Wythe, and Benjamin Harrison. Fortunately, the homes of nearly all the leading Revolutionary figures remain standing. Many of these houses are impressive works of architecture in their own right, and they only gain significance as the personal habitations of the men who forged a new nation. Perhaps the most momentous of Virginia's Revolutionary-era places is the Yorktown Battlefield, where American victory over British rule was achieved. Offshore from the battlefield lies the scuttled fleet of British ships, a unique concentration of maritime archaeological sites.

Early National Period (1789-1830)

The end of the eighteenth century saw Virginia changing from a society almost exclusively agrarian, containing counties with only the smallest villages or none, to one gradually beginning to accommodate urban centers. Once direct British restraints on trade were removed (a process that was not completed until the War of 1812), such river ports as those located along the fall line (Alexandria, Fredericksburg, and Petersburg, for example) became thriving commercial centers with impressive concentrations of domestic and commercial structures. The period also saw the development of numerous towns and villages in the Piedmont and in western Virginia, particularly along the migration route extending south and west through the Valley of Virginia. The Piedmont centers of Charlottesville, Warrenton, and Leesburg, and such principal western communities as Winchester, Staunton, Lexington, and Abingdon, all began as county seats that prospered in this period. This period also saw the emergence of the large, Classically styled county courthouse as the central architectural feature of the rural county seats of the Piedmont region.

For most of Virginia's rural areas, the period that succeeded the Revolution has been called the "Great Rebuilding." The once commonplace one- or two-room colonial dwellings of the small farmers were either replaced or expanded as living standards improved. The I-house became a prevailing domestic type in Piedmont and the Valley beginning in this period. At the same time, the post-Revolutionary migration of members of wealthy

Tidewater families to lands they owned farther west resulted in the transplantation of the Tidewater-style plantation house to parts of the north and west.

The disestablishment of the Anglican church coincided with the rise of other religious denominations and the construction of new churches in cities, towns, and the countryside.

Thomas Jefferson, with the designing and building of the Virginia State Capitol, Monticello, and the University of Virginia, synthesized a diversity of influence to create a building style suitable for a young, essentially agrarian republic.

Virginia's population began to decline at the end of the period relative to the population of the nation as a whole.

Antebellum Period (1830-1860)

During this period the state's internal improvement system, which first received public funding in 1816, hit full stride. The Virginia Board of Public Works cooperated with private joint stock companies to construct a transportation network of canals, turnpikes, railroads, and navigable rivers to provide farmers and merchants access to markets. Despite such setbacks as the Panic of 1837, the construction campaign succeeded in opening the West and Southwest to settlement and in creating a new prosperity for the towns and counties through which the improvements passed. During the period for the first time roads and railroads began to challenge the dominance of waterways as the principal means of transportation.

Several of Virginia's towns emerged as urban and commercial centers. They include Richmond, Norfolk, Alexandria, and Petersburg, among others. Manufacturing activities, which during the colonial period had been diffused in pockets throughout the countryside, became concentrated in towns and cities. Richmond, for example, became a center of ironmaking and milling.

Slavery as an institution reached its peak during this period. It was, in fact, the growing controversy over slavery that dominated the minds and emotions of Virginians and characterized the era, which essentially began in 1831 with Nat Turner's Rebellion in Southampton County. The bloody enterprise, which realized the slave owners' worst fears, resulted in the passage of harsh laws by the General Assembly regarding slaves and free blacks, in the suppression of public debate over the abolition of slavery, and in a general hardening of Southern public opinion in favor of retaining the institution. Although the Civil War that concluded the period was not fought--at least initially--to abolish slavery, the emotions aroused by the slavery question contributed to the belligerent attitudes of the people in both the North and the South.

Civil War (1861-1865)

Much of the Civil War was fought on Virginia soil, and throughout the commonwealth are

battlefields, fortifications, earthworks, military headquarters, and other places that figure in the events of that bloody war. Richmond, as the former capital of the Confederate States, contains the official residence of President Jefferson Davis as well as a variety of other surviving buildings and sites identified with the government. Virginia's main Civil War battlefields--Manassas, Spotsylvania Court House, the Wilderness, Petersburg, Richmond, and Appomattox--along with associated buildings and structures, are preserved by the National Park Service as outstanding, if poignant, historic resources. Many other examples remain preserved through private and local governmental efforts, clearly documenting the unparalleled fascination with which Virginians, and indeed most Americans, view this event.

Reconstruction and Growth (1865-1917)

With the defeat of the South and its associated economic deprivation, major changes occurred in Virginia, the effects of which greatly influenced Virginia well into the twentieth century. During this period the foundations were laid for modern America as an industrialized, urban nation.

The expansion of Virginia's cities as commercial and industrial centers continued after the war as the state struggled to emerge from the ruins of the Confederacy. The late nineteenth century in particular became a time of enormous growth as Virginians found new wealth the mining of coal and mineral resources, the exploitation of forest products, the manufacturing of tobacco, and the expansion of railroad and shipping lines.

Most of this prosperity accrued to white Virginians, not blacks. Although freedmen benefited from military Reconstruction, during which schools, suffrage, and land ownership became available to them at last, their new-found freedom was quickly circumscribed by a new phenomenon--racial segregation. The white-dominated political and economic power structure ensured that black laborers were paid less than white, that black schools received less funding than white, that black access to public facilities remained inferior to that of whites, and that blacks (with the adoption of the 1902 Constitution) lost the franchise. Blacks responded to segregation by creating their own institutions. During this period blacks established independent black churches, corporations, and educational institutions, as well as fraternal and social self-help organizations. Despite their best efforts, however, the lack of equal access to public facilities and programs resulted in a lower degree of economic and political success for blacks.

World War I to World War II (1917-1945)

During this period the city triumphed over the countryside in the struggle for population growth, as America became a truly urban nation and the number of operating farms began to decline. This change is explained partly by the continuing movement of manufacturing facilities and service industries into and around the cities, and partly by the increased efficiency in food production resulting from better farm machinery and fertilizers.

Blacks followed the jobs to cities. Often concentrated by unfair housing practices in particular sections of the cities, blacks found strength in numbers and began at mid-century to defeat the system of racial segregation that had hampered them since the Civil War.

As the country urbanized and its population experienced dramatic growth, two events occurred that transformed the roles and power of the national and state governments: the Depression and World War II. The existing political and economic structure was inadequate to deal with the economic consequences of the Depression, so the size and scope of government programs expanded to treat them. Likewise, the logistical and organizational problems presented by the war resulted in an increase in the number and size of government agencies to overcome them. State government grew similarly.

These changes had several effects upon the landscape of Virginia and upon its historic resources. During the Depression, the federal government sponsored public works programs that improved highways and constructed parks in the state. These programs also served to halt the decline of the state's population. Synthetic textile industries were planted in many areas of the state. The war brought thousands of servicemen and servicewomen to the Virginia suburbs of Washington, D.C. and to the Norfolk area, many of whom remained in Virginia after the war.

The New Dominion (1945-present)

Since World War II, the growth of government and related industries in Washington and Richmond has affected the adjacent counties as farmlands have been developed into housing and service facilities. A related phenomenon--the transportation route as development corridor--has occurred in the last few years of the century. Although in previous periods some towns and villages were created or grew along the routes of internal improvements, such development remained fairly localized. Today, however, not only do large communities spring into being near such highways as Route 95, but a correspondingly elaborate system of support facilities are established with them: schools, shopping centers, office parks, airports, and additional roads. These transportation and support facilities presently exert the most significant pressures on historic resources and the natural environment of Virginia.

These changes have been more a consequence than a cause of Virginia's exploding population growth since 1945. By 1955, Virginia had more urban than rural dwellers, since which time the state has ranked fourteenth in population among the states. By 1990, most Virginians, like most Americans, lived in suburbs on the edges of the state's historic urban centers and rural hinterlands.

The major themes of the Commonwealth's recent history--the end of segregation and the victory of the civil rights revolution, the end of the Byrd machine and the rise of a state two-party political system, the increasing complexity of federal-state-local government relations in health, education, housing, community development and welfare, and the challenge of promoting both economic development and environmental protection--all indicate that

Virginia has entered a pivotal period of change and transformation from which there is no turning back.

APPENDIX C

**THE AXIS OF CULTURAL PURPOSE AND FUNCTION:
THEMATIC CONTEXTS AND ASSOCIATED PROPERTY-TYPES**

Domestic Theme: This theme relates broadly to the human need for shelter, a home place, and community dwellings. Domestic property types include single dwellings such as a rowhouse, mansion, residence, rockshelter, farmstead, or cave; multiple dwellings, such as a duplex, apartment building, rockshelter, or cave; secondary domestic structures such as a dairy, smokehouse, storage pit, storage shed, kitchen, garage, or other dependency; hotels such as an inn, hotel, motel, or way station; institutional housing such as a military quarter, staff housing, poor house, or orphanage; camps such as a hunting campsite, fishing camp, forestry camp, seasonal residence, or temporary habitation site; and village sites.

Subsistence/Agriculture Theme: This theme most broadly seeks explanations of the different strategies that cultures develop to procure, process, and store food. Beyond the basic studies of site function based on the analysis of a site location, the tool types from the site, and the food remains recovered, this theme also explores the reconstruction of past habitats from the perspective of their potential for human exploitation, energy flow studies on the procurement and processing of food, and the evolution of particular subsistence strategies over time within and between neighboring regions. Agriculture specifically refers to the process and technology of cultivating soil, producing crops, and raising livestock and plants. Property types for the subsistence/agriculture theme include resources related to food production such as prehistoric villages, small family farmsteads, large plantations with representative or important collections of farm and outbuildings, and other agricultural complexes such as agri-businesses; sites or properties associated with processing such as a meat or fruit packing plant, cannery, smokehouse, brewery, winery, or food processing site; storage facilities such as a granary, silo, wine cellar, storage site, or tobacco warehouse; agricultural fields such as a pasture, vineyard, orchard, wheatfield, complex of crop marks or stone alignments, terrace, or hedgerow; animal facilities such as a hunting and kill site, stockyard, barn, chicken coop, hunting corral, hunting run, or apiary; fishing facilities or sites such as a fish hatchery or fishing ground; horticultural facilities such as a greenhouse, plant observatory, or garden; agricultural outbuildings such as a barn, chicken house, corncrib, smokehouse, or tool shed; and irrigation facilities such as an irrigation system, canal, stone alignment, headgate, or check dam.

Government/Law/Political Theme: This theme relates primarily activities related to politics and government and to the enactment and administration of laws by which a nation, state, or other political jurisdiction is governed. It embraces governmental systems, political activities, legal systems, important political/governmental events in history, and political leaders. This theme also explores the inter-relationships of contemporaneous cultures and group interactions within cultures from their political aspect. Anthropological research questions, most often focused on Native American life, treat the nature of the different levels of socio-political organization, kinship systems which contribute to social integration,

and mechanisms of cultural interactions between societies. Property types representing this theme include public administrative and service buildings such as the Capitol and the Executive Mansion as well as a town/city hall, federal, state, or county courthouse, prison, jail, fire/police department or station, post office, or custom house; public works projects and other types of government buildings; and sites of important governmental events or places associated with governmental leaders. Examples of prehistoric sites frequently related to this theme include both camps and villages.

Health Care/Medicine Theme: This theme refers to the care of the sick, elderly, and the disabled, and the promotion of health and hygiene. Property types associated with this theme include hospitals such as a veterans medical center, mental hospital, asylum, private or public hospital, or medical research facility; clinics such as a dispensary or doctor's office; sanitariums such as a nursing home, rest home, or other sanitarium; medical businesses/offices such as a pharmacy, medical supply store, or doctor or dentist office; and resorts such as a bath, spa, or other resort facility.

Education Theme: This theme relates to the process of conveying or acquiring knowledge or skills through systematic instruction, training, or study, whether through public or private efforts.   Property types include schools such as a field school, academy, one-room, two-room, or consolidated school, secondary school, grammar school, or trade or technical school; colleges such as a university, college, community college, or junior college; libraries; research facilities such as a laboratory, observatory, or planetarium; and other education-related resources such as a college dormitory or housing at a boarding school.

Military/Defense Theme: This theme relates to the system of defending the territory and sovereignty of a people and encompasses all military activities, battles, strategic locations, and events important in military history. It includes property types related to arms production and storage such as a magazine, gun manufactory, or armory; fortifications such as a fortified military or naval post, palisaded village, fortified knoll or mountain top, battery, or bunker; military facilities such as a military post, supply depot, garrison fort, barrack, or military camp; battle sites such as a battlefield; coast guard facilities such as a lighthouse, coast guard station, pier, dock, or life-saving station; naval facilities such as a submarine, air craft carrier, battleship, or naval base; and air facilities such as an aircraft, air base, or missile launching site.

Religion Theme: This theme concerns the organized system of beliefs, practices, and traditions regarding the world view of various cultures and the material manifestation of spiritual beliefs. For studies of Native American life, research questions also focus on the identification and evaluation of forms of religious leadership and how they vary over time and between societies. This theme also encompasses the study and understanding of places of worship, religious training and education, and administration of religious facilities. Property types include various places of worship such as a church, temple, synagogue, cathedral, meetinghouse, temple, mound, or sweathouse; ceremonial sites such as a petroglyph or pictograph site, cave, shrine, or pilgrimage route; church schools such as a religious academy, school, or seminary; and church-related residences such as a

parsonage, monastery, hermitage, nunnery, convent, or rectory.

Social Theme: This theme relates to social activities and institutions, the activities of charitable, fraternal, or other community organizations and places associated with broad social movements. Property types include meeting halls such as a grange, union, masonic, or temperance hall, and the halls of other fraternal, patriotic, or political organizations; community centers; clubhouses such as the facilities of a literary, social, or garden club; and civic facilities such as a civic or community center.

Recreation/Arts Theme: This theme relates to the arts and cultural activities and institutions associated with leisure time and recreation. It encompasses the activities related to the popular and the academic arts including fine arts and the performing arts (painting, sculpture, dance, drama, music), literature, recreational gatherings, entertainment and leisure activity, and broad cultural movements. Property types include theaters such as a cinema, movie palace, theater, playhouse; auditoriums such as a hall, lyceum, or other auditorium; museums such as an art museum, art gallery, or exhibition hall; music facilities such as a concert hall, opera house, bandstand, or dancehall; sports facilities such as a gymnasium, swimming pool, tennis court, playing field, or stadium; outdoor recreation facilities such as a park, campground, picnic area, biking trail, fair, amusement park, or county or state fairground; monuments/markers such as a commemorative marker or monument; various works of art such as a sculpture, carving, statue, mural, or rock art; and places associated with writers, artists, and performers. Landscaped gardens, parks, and cemeteries are listed under the Architecture/Landscape Architecture/Community Planning Theme.

Transportation/Communication Theme: This theme relates to the process and technology of conveying passengers, materials, and information. Studies focus on transportation and communication networks involving roads, water, canals, railroads, and air as well as on the various structures, vehicles, equipment, and technology associated with each mode. Property types may be generally classified as either rail-related, air-related, water-related, road-related, or pedestrian-related. Examples include railroads, stations, engine houses, and trains; airports, airplanes, landing fields, and space vehicles; and research facilities associated with transportation systems; boats and other watercraft, piers, and wharves, ferries, lighthouses; canals and associated structures, locks, boats; roads and turnpikes, tollhouse, automobiles and other vehicles, and streetcars; and board walks, walkways, and trails.

Commerce/Trade Theme: This theme relates to the process of trading goods, services, and commodities. Property types include businesses, professional, organizational, and financial institutions, and specialty stores; and department stores, restaurants, warehouses, and trade sites. Specific properties related to the theme include office buildings, trading posts, stores, warehouses, market buildings, arcades, shopping centers, offices, office blocks, and banks.

Industry/Processing/Extraction Theme: This theme explores the technology and process of managing materials, labor, and equipment to produce goods and services. Included in this theme are activities related to the extraction, production, and processing of materials such as quarrying, mining, manufacturing, lumbering, technology, electronics, pottery, textiles, food processing, distilling, fuel, building materials, tools, transportation, seafood, and many other industries. Property types include quarries, mills (grist, carding, textile, woodworking), factories, distilleries, shipyards, mines, forges and furnaces, kilns, laboratories, power plants, dams, tanneries, village shops, and other small crafts and industrial sites.

Landscape Theme: This theme explores the historic, cultural, scenic, visual, and design qualities of cultural landscapes, emphasizing the reciprocal relationships affecting the natural and the human-built environment. Investigations include studies into spatial organization patterns, land use, response to natural features, circulation networks, boundaries, vegetation, cluster arrangement of buildings, fences, and paths, structures, and small-scale landscape elements. Associated property types include not only deliberately designed or maintained landscapes such as parking lots, parks, plazas, gardens, street furniture, and objects, conservation areas, and rural historic districts but also unoccupied land, underwater sites, and natural features such as a mountain, valley, promontory, tree, river, island, pond, or lake.

Funerary Theme: This theme concerns the investigation of grave sites for demographic data to study population composition, health, and mortality within prehistoric and historic societies. Property types include cemeteries such as a burying ground, burial site, or ossuary; graves and burials such as a burial cache, burial mound, or grave; and mortuaries such as a mortuary site, funeral home, cremation area, or crematorium.

Ethnicity/Immigration Theme: This theme explores the material manifestations of ethnic diversity and the movement and interaction of people of different ethnic heritages through time and space in Virginia. While all property types may be associated with this theme, properties that exemplify the ethos of immigrant or ethnic groups, the distinctive cultural traditions of peoples that have been transplanted to Virginia, or the dominant aspirations of an ethnic group are of particular interest. Also related to this theme are properties associated with persons of distinctive ethnic heritage who made a significant contribution to our history and culture in any field of human endeavor.

Settlement Patterns Theme: Studies related to this theme involve the analysis of different strategies available for the utilization of an area in response to subsistence, demographic, socio-political, and religious aspects of a cultural system. Evaluations can take place on two different levels: (1) utilization of space within a settlement and (2) local/regional distribution of settlements as a result of environmental adaptations. This theme is also concerned with the investigation of unknown or little known regions as well as the establishment and earliest development of new settlements or communities. While these studies primarily explore the subsistence-induced aspects of settlement patterns, studies of house types, village and town plans, and regional distributions are also combined with an

analysis of the social, political, and economic aspects of settlement. Property types reflect the entire range of buildings, structures, districts, objects, sites, and landscapes.

Architecture/Landscape Architecture/Community Planning Theme: This theme explores the design values and practical arts of planning, designing, arranging, constructing, and developing buildings, structures, landscapes, towns, and cities for human use and enjoyment. Property types include impermanent structures, rural vernacular buildings and structures, urban vernacular buildings and structures, great architectural landmarks, buildings exemplary of national styles, parks, gardens, and landscaped cemeteries, town and village plans, urban design and planned communities, and company towns.

Technology/Engineering Theme: While the technological aspects of a culture form the primary basis of interpretation of all themes, this theme relates primarily to the utilization of and evolutionary changes in material culture as a society adapts to its physical, biological, and cultural environments. Research questions here range from artifact studies on the identification of changing tool types, their various functions, and how they were manufactured to more general issues related to the organization of labor and presence/absence of craft or occupational specialization. All site types may contribute to the understanding of this theme. This theme also involves the practical application of scientific principles to design, construct, and operate equipment, machinery, and structures to serve human needs. Property types include wood, metal, and concrete bridges, highways, dams, canal, railroad, air-transport, and other transportation-related works, and various industrial structures, engines, and machinery.

Other Themes: Any theme not covered by the above categories. The state preservation planning process is designed to accommodate various scales of inquiry and alternate ways of understanding our diverse cultural heritage. Studies underway related to Virginia's maritime heritage, Appalachian heritage, African-American heritage, studies of regions and themes that cross state boundaries, as well as more detailed analysis of historic contexts identified through state and national register documentation are all likely to necessitate the addition or redefinition of these themes and related property types.

CHAPTER 4

FIELD TECHNIQUES

Although the techniques used in identifying historic properties may vary, surveys are defined by type (comprehensive or selective) and level of documentation (reconnaissance or intensive).

Types of Survey:

    1. Comprehensive Survey

Comprehensive survey involves recording all historic and non-historic resources in a geographical area. This type of survey is rarely used in rural or urban survey projects in Virginia except when an historic district is expected to be nominated to the Virginia Landmarks Register and the National Register of Historic Places. In Virginia an historic district nomination to the registers requires an inventory of all historic and non-historic resources contained within the historic district

    2. Selective Survey

Selective survey involves choosing historic resources to be recorded based on the objectives of the survey, such as the purpose, goals, priorities, and coverage of a geographical area. Other factors and constraints, such as the cost and extent of the survey, may determine the number of properties to be surveyed, thereby constraining the surveyor's selection methodology. In most rural or urban surveys (except historic district surveys), the surveyor selects an historic resource based on its rarity or quality of type, date or period of construction (at least 50 years old), threat, state of preservation, or other factors.

Levels of Documentation:

1. Reconnaissance Survey

    A reconnaissance survey is a broad visual inspection or cursory examination of historic resources in a specific geographical area. In Virginia, properties are recorded at a minimum level of documentation using the VDHR Integrated Preservation Software Reconnaissance-Level Survey Form. A limited number of exterior photographs of each historic resource accompany the survey form. Inspections of interiors of buildings are not required, but are certainly

recommended if the surveyor is invited to do so by the owner of the property.

A reconnaissance survey is particularly useful in determining or predicting the distribution of architectural properties in a certain geographical area. Although the survey data usually is not sufficient to evaluate individual properties for listing in the Virginia Landmarks Register and National Register of Historic Places, it does record properties at a basic level and provides a base for obtaining more detailed survey data at a later date.

2. Intensive Survey

An intensive survey involves a more in-depth look at specific historic resources in a geographical area and typically identifies the most significant historic resources in that area. Properties are recorded at a higher level of documentation using the VDHR Integrated Preservation Software Intensive-Level Survey Form. Survey data includes a detailed exterior and interior architectural description of the property, several interior and exterior photographs, background research into the history of the property, and other information that may meet specific needs.

Intensive survey data can be used to determine the property's potential eligibility for listing on the Virginia Landmarks Register and the National Register of Historic Places. Please remember, however, that interior photographs are required before an eligibility determination can be made.

Fieldwork

Survey requires fieldwork. Recording primary data in the study area is important for meeting the identification goals of survey work. The surveyor must first determine what type of survey (comprehensive or selective) will be undertaken, what level of documentation (reconnaissance or intensive) will be adopted as defined by the survey objectives, what types of historic resources will be identified, and what will be the survey area. Some surveys are limited to a small geographical area such as an historic district in a small town; other surveys are countywide and cover thousands of acres.

The use of maps, especially USGS (United States Geological Survey) topographic maps, is essential for defining the survey area. For rural and small town surveys USGS topographic maps are sufficient in scale to indicate major roads, secondary roads, forested and open areas, natural features, driveways leading to farmsteads, houses or other primary resources, farm buildings, old roads, and cemeteries. Some large towns and most cities have such a heavy concentration of buildings that USGS maps are not able to indicate each individual building, so town and city base maps are recommended for urban surveys. Most town and city planning offices can provide the surveyor with base or tax maps of sufficient scale to clearly identify buildings or at least the lots on which they are located.

The entire United States is divided into a grid system of USGS topographic quadrangle maps. Derived from aerial photography and often photo-revised at a later date, each quadrangle map is usually named for a particular town, village, city, or natural feature located on that particular map. Each quad map covers about seventy square miles of territory, so that most counties in Virginia are made up of several USGS quad maps, while most cities and towns are located entirely on one quad map or divided by two quad maps. USGS topographic maps are ideal for locating and indicating historic resources and are required for any DHR-sponsored survey. They may be purchased by writing the U.S. Geological Survey, Reston, VA 22092. Maps are ordered by quad map name. DHR regional office architectural historians can provide the surveyor with the names of USGS topographic quad maps that cover a particular county, or contain a particular town or city and can provide information about other places where quad maps can be purchased.

Once the survey area is defined and the appropriate USGS map(s) is/are obtained, the surveyor should become familiar with the survey area by driving or walking the area to examine the topography of the land and identify man-made and natural features, circulation networks, transportation routes, and spatial relationships between buildings in their rural or urban settings.

Selective survey in rural areas, such as a countywide survey, requires the surveyor to drive all primary and secondary roads in the county looking for buildings that may meet the objectives of the survey. All lengthy private property roads and driveways should be driven to determine if an historic or non-historic building is located at the end. Take care to respect private property rights at all times. If no trespassing signs are posted, please telephone or write the property owner to ask permission to come onto the property and photograph any historic buildings that may be located there.

If the surveyor must enter private property to record a building or group of buildings, the owner/resident or tenant must be informed of the surveyor's intentions and permission must be granted before recordation begins. Most resident/owners tend to grant permission once the surveyor explains the nature and importance of the survey. The owner can also be very helpful in providing information about the history of the property and its buildings. Many property owners are proud of their historic buildings and will be enthusiastic about having them recorded if they fully understand the purpose of the survey.

Once a property is selected to be recorded and permission is obtained from the owner, the surveyor must determine the primary resource located on the property and focus most of his/her attention on recording that resource. It is usually not difficult to determine the primary resource. It is the most significant, but not necessarily the largest, building on a property. In most cases, a dwelling, church, school, commercial building, or industrial building will be the primary resource and a garage, outbuilding, barn, shed, cemetery, or other associated building, structure, or site will be considered a secondary resource. All secondary resources on a property should be described and

photographed, but the primary resource should receive the most attention.

The following equipment is recommended for conducting survey fieldwork in Virginia:

1. 35 mm camera(s) with black-and-white print film (VDHR recommends Kodak TMAX 100 ASA) for all surveyed properties in addition to color slide film (VDHR recommends Kodak Kodachrome 64 ASA) for properties that the surveyor deems are potentially eligible for listing in the Virginia Landmarks Register and the National Register of Historic Places.

2. DSS Field Forms -- VDHR has created a field form that includes all fields that appear in the electronic version of DSS: Intensive, Reconnaissance, and Archaeological. The Reconnaissance form contains printed screens for bridges and cemeteries. It allows the surveyor to quickly describe the historic resource and provides space for floor plans (if applicable) and a site plan. The information obtained in the field can then be entered into the DSS database on line at a later date.

3. Clipboard or other writing surface

4. Mechanical pencils (lead holders) or pencils with erasers -- lead holders are more convenient since pencils need re-sharpening.

5. Straightedge or ruler -- for use in sketching floor plans and site plans. Free hand sketches are acceptable if neatly drawn.

6. Tape measure --V DHR does not require the surveyor to measure an historic building; however, overall dimensions of some buildings may be desirable.

7. Flashlight - to investigate dark interior spaces such as attics, closets, and cellars of buildings

8. Compass -- useful in determining a north arrow for a site plan

9. Personal gear -- such as boots or other footgear, raingear, bug and tick repellent, sunscreen, water, etc.

Reconnaissance-Level Survey

Photograph the property -- Using a 35 mm camera with black-and-white print film, take 3-5 exterior photos of the primary resource (front, rear, sides, close-up views, details, setting) and 1-2 exterior photos of each historic secondary resource. If

recording buildings for an historic district inventory, take 1-2 exterior photos of each primary resource in the historic district and 1 exterior photo of any secondary resources. One photo showing a group of no more than 3 small secondary resources, such as a garage and two sheds, is acceptable; however, a photo showing several barns in the distance is not acceptable. DHR strongly suggests that wide-angle camera lenses not be used for exterior photographs since these lenses tend to distort vertical dimensions of buildings. A perspective-correction lens is highly recommended for best results. No interior photos are required at the reconnaissance level of documentation, but a sampling of interiors should be investigated and photographed in order to understand more fully the range of historic resources in the survey area.

Important Note on Photo Processing: 1. Digital photography is not acceptable for DHR survey documentation. **2.** Only Black and White processing called **HC 110** is acceptable**, not C-41.   3. Only paper produced for use with HC 110 processing is acceptable. Neither Agfa or Fuji paper is acceptable. Acceptable films include Kodak Tri-E, Pan, Plus-X and Ilford.**

Describe the property – Gather all the necessary pieces of information needed to create a record for the database which includes identification number, name of property, address, location, site description, classification, exterior materials and treatment, date of construction, architectural description, condition, secondary resource description, historic context, graphic documentation, property owner, and surveyor's notes. Draw a site plan showing the primary resource; its spatial relationship to any secondary resources; street, road or drive that provides access to the property; any important natural features such as lakes, rivers or creeks; and a north arrow.   Sketched site plans are acceptable if they are clearly drawn.

Locate the Property -- Circle and highlight the historic resource or group of resources on a photocopied section of the USGS quad map on which the property is located. Exact property boundaries do not need to be defined at this level of documentation. It is important to indicate the name of the property and its identification number on the photocopied section of the map. Also make sure the name of the quad map is shown or else write the name in one of the margins.

Interview the property owner -- A good deal of information on the current function and history of the property can sometimes be obtained by interviewing the owner/resident. Never pass up an opportunity if it presents itself.

Intensive-Level Survey

Photograph the property 1 -- Using a 35 mm camera with black-and-white print film,

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1 If the surveyor believes the property may be eligible for listing in the National Register of Historic Places, color slides of the exterior and interior of the primary resource, secondary resources, and the

take 5-10 exterior photos of the primary resource (front, rear, sides, architectural details, close-up views, photo of setting) and 1-2 exterior photos of any secondary resources. One photo showing no more than 3 small secondary resources, such as a garage and two sheds, is acceptable; however, a photo of several barns in the distance is not acceptable. VDHR strongly suggests that wide-angle camera lenses not be used for exterior photos since these lenses tend to distort vertical dimensions of buildings. A perspective-correction lens is highly recommended for best results. Interior photos are required for the intensive level of documentation. **If the interior of a building cannot be accessed, the surveyor must choose another property to record at the intensive level in order to meet the requirements of a contract in which a certain number of properties are to be surveyed at the intensive level.** Principal rooms should be photographed using a wide-angle lens to show much of the volume of space in the room. Unlike in exterior photographs of buildings, wide-angle lenses tend not to distort perspective. Close-up photos of architectural elements, such as mantels, cabinets, windows, doors, trim, and stairs, are also encouraged, but they should complement photos showing the volume of each principal room. Be careful not to overexpose the subject of the photo by using too intense a flash. Raking light is often ideal for illuminating architectural features. If the surveyor believes the property is eligible for listing in the National Register of Historic Places, color slides of the exterior and interior of the primary resource, secondary resources, and the setting of the property should be provided.

Describe the property – Gather the necessary information needed to create an intensive-level record in the database which includes identification number, name of property, address, location, site description, acreage, classification, exterior and interior description of primary resource, date of construction, interior plan type, condition, threat, exterior description of any secondary resources, events and individuals associated with the property, historic context, historical and architectural significance of the property, potential for meeting the criteria for listing on the National Register, graphic documentation, property owner, and surveyor's notes. Draw a site plan showing the primary resource; its spatial relationship to any secondary resources; street, road or drive that provides access to the property; any important natural features such as lakes, rivers, or creeks; and a north arrow. Sketched site plans are acceptable if they are neatly and clearly done. Sketched floor plans of the primary resource are also encouraged.

Locate the Property -- Circle and highlight the historic resource or group of resources on a photocopied section of the USGS quad map on which the property is located. If possible indicate the approximate boundaries of the property on the map, especially for large rural properties. It is important to indicate the name of the property and its identification number on the photocopied section of the map. Also make sure that the name of the quad map is shown or else write the name in one of the margins.

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setting of the property should be provided.

Interview the property owner -- A good deal of information about the current function and history of the property can often be obtained by interviewing the owner/resident. The owner may also provide the surveyor with names of persons to interview and other sources of information.

CHAPTER 5

ORGANIZING SURVEY MATERIAL

1. VDHR IDENTIFICATION NUMBERS

Before a file on a surveyed property is placed in the VDHR Archives, it must receive a VDHR identification number. This unique number is used in the identification, filing, and computer database entry of every surveyed property.   The VDHR Archives arranges property files by city, county, or town, and then sequentially by identification number within each locality.

Properties are assigned a two-part or three-part number that is unique to a property. The first set of three digits refers to the city, county, or town in which the property is located, while the second set of four digits refers to the number assigned to a particular property within that city, county, or town. The two sets of digits are separated by a hyphen. For example, three surveyed properties in Loudoun County might be assigned the identification numbers of 053-0001, 053-0002, and 053-0003 in which the first number (053) represents Loudoun County and the second numbers (0001, 0002, and 0003) represent the first, second, and third properties surveyed in the county. Zeroes placed before numbers are required to fill out all spaces provided.

Three-part identification numbers are assigned to properties found within potential or designated historic districts. The first set of digits refers to the city, county, or town in which the historic district is located, the second set of digits refers to the identification number assigned to the historic district, and the third set of digits refers to a property within the historic district. These three sets of digits are also separated by hyphens. For example, three properties located in the Alexandria Historic District might be assigned the identification numbers of 100-0121-0001, 100-0121-0023, and 100-0121-0500 in which the two-part number (100-0121) represents the Alexandria Historic District and the last digits represent a property within the district.

It is very important to note that VDHR identification numbers or blocks of numbers are assigned by the Archivist in Richmond. Please do not assign identification numbers to properties before checking with the Archivist at (804) 367-2323, extension 124.

INFORMATION ON DATA SUBMISSION FOR THE DSS SYSTEM WILL BE PROVIDED IN A SEPARATE DOCUMENT. It is suggested that text fields be entered in a MS Word format into a document so that they can be pasted into the electronic submission. Spell check and all other Word functions can then be applied to the text fields prior to submitting them electronically to DHR.

2. DATABASE REPORTS

Once survey data has been entered into the VDHR database, the user can manipulate the data to produce hard copies of all the entered data, basic inventory lists and other reports with custom-designed formats that should assist the surveyor in evaluating the often large number of surveyed historic resources in a community.

In most instances, the surveyor should produce at least one hard copy of each record for each property surveyed once all of the information has been entered into the database. After review by the regional or central staff architectural historians, the hard copy is filed at VDHR with original photographs.

As stated above, the database can produce numerous types of reports that can assist in report preparation and added to reports for the purpose of structuring survey findings. These reports are frequently placed as appendices at the end of the survey report. At a minimum all survey reports should contain the following two reports:

> 1) The Basic Inventory List in which properties are arranged by VDHR identification number. The report should also include the name of the property, address of the property, and the USGS quad map on which the property is located.

> 2) The Property Name List in which properties are arranged by historic or current name of property in alphabetical order. The report should also contain the VDHR identification number, address of the property, and USGS quad map on which the resource is located. If historic or current names of properties are not obtained (such as in an urban historic district survey), an address report should be generated in which properties are arranged in sequential order by address number and in alphabetical order by street name.

Other reports may prove to be useful in a survey report. Some examples might organize data by:

> 1) Address
> 2) Date of Construction - a chronological list
> 3) Historic Context
> 4) Architectural Style
> 5) Wuzit/ "What is it?"
> 6) U.S.G.S. Quad Name/map

3. ARCHIVAL MANAGEMENT

A. <u>VDHR Archives Survey Files</u>

An individual VDHR Archives survey file consists of the following materials:

1.) A DSS database-generated Reconnaissance or Intensive Survey paper record copied onto standard archival paper and clipped with **plastic clips (like *Plastiklips*) - no staples** at the top left corner

2.) Several 3 1/2" X 5" black-and-white photographs (2-4 images) of the primary and secondary resources located on a property. These photographs should be properly labeled according to VDHR standards (see "Photographic Materials" below) and placed in one or more VDHR transparent photo sheets labeled according to VDHR standards (see "Photographic Materials" below). As a rule, two-three photographs are sufficient for each property unless the buildings are numerous or the particular building is unusually complex.

3.) A photocopied section of a USGS quad map on which the surveyed property is highlighted or circled and the name of the property, VDHR identification number, and name of the quad map are clearly indicated.

4.) Any supplementary information associated with the surveyed property, such as field notes, field forms, floor- and site-plan sketches, copies of original architectural drawings, plans, and building specifications if available, and bibliographic materials. Please remember to photocopy all materials on archival paper.

All survey materials pertaining to an individual property should be placed in standard VDHR survey file envelopes. The file envelope should be neatly hand-lettered **in pencil** (no adhesive labels accepted) with the following information:

1) Historic name of property or address if name of property is unknown
2) County, independent city, or town/county
3) VDHR identification number

Reconnaissance-level survey forms may be grouped within one envelope, **provided they are in sequential numeric order**. As a general rule, roughly five may be grouped within one envelope. All **intensive-level** survey materials must be placed in a separate envelope from materials of other surveyed properties – only reconnaissance-level surveys may be grouped.

In historic district surveys it is preferable to group reconnaissance-level survey forms (at the most about five forms) by streets, blocks, or partial blocks. For example, if you have materials for five surveyed properties located on both sides of the 100 block of Main Street in the Farmville Historic District, place each of the five database survey records and corresponding transparent photo sheets in a single VDHR survey file envelope and label it "Farmville Historic District - 100 Block Main Street" in the space for "Name", "Prince Edward-Farmville" in the space for "County/City", and the range of VDHR identification numbers in the space for "File No." eg 144-0027-0001/0005. Photocopied sections of base or tax maps showing the location of each of the five properties (circled or marked in some way) must also be provided.

If numerous surveyed properties exist on one street, group the survey forms by blocks or partial blocks and place them into several survey file envelopes. For instance, if there are sixty properties on one street, divide the forms by block or combined blocks and place each group of forms into its own survey file envelope. Label the file envelope by historic district name, range of addresses, block(s), or partial block, and street (e.g. "Mount Jackson Historic District, 1-10 Main Street" or "Southwest Historic District 1200-1500 blocks Jefferson Street"). After checking VDHR inventory to be sure no tertiary numbers have already been used, assign tertiary numbers beginning with 0001 following the district number. **Important note: survey forms must always be grouped in sequential file number order. If tertiary numbers were previously assigned to properties within a district, the forms should be arranged in numeric sequence. They may only be grouped in a single envelope if there are no gaps in that numeric sequence.**

B. Photographic Materials

   1. Black-and-White Film Negatives
      Most survey projects will produce several rolls of film to be processed into photographs. Each roll of film receives a unique 5-digit number known as the negative number which is assigned by the Archivist in Richmond at (804) 367-2323, extension 124. The surveyor should not assume a negative number is available unless it has been assigned by the Archivist. VDHR must receive the film negatives produced in a survey project. Negatives should be submitted in strips of **4-6 frames**, (**this number must not be exceeded**) and each **strip** should have the 5-digit VDHR negative number (number assigned to each roll of film) written between sprocket holes at the top right corner. **It is imperative that black and white processing and paper for black and white photos be used for black and white prints. The acceptable process is HC 110. Color-processed negatives or photos printed on non-black and white paper will not be accepted.**

All negative strips from a single roll of film should be placed in one or more transparent negative sheets, each of which holds up to seven negative strips (PrintFile brand, style 35-7BXW, 6 frames per strip). These negative sheets are provided by the VDHR Archives in Richmond upon request for projects the department is funding. Label the top of each negative sheet with the negative number, date, and the subject's name and file number. Provide a list of the properties with names, VDHR file numbers with the frame number along with information clearly labeled indicating the city or county in which the subject(s) of the photographs is/are located, date photographs were taken, name of photographer, and the property name and file identification number of each subject.

With historic district surveys, the name of the historic district should appear on the negative sleeve and each frame identified on a separate sheet of paper as to name or address of property within the historic district and that property's three-part VDHR identification number. This information should be provided on a separate sheet of paper with the negative sheet.

2. Black-and-White Photographs

Label the back of each 3 1/2" X 5" black-and-white photograph **in soft-lead pencil or a black china** (no pens or adhesive labels accepted) the following items of information in the lower left corner of the photograph:

> 1. negative number (number assigned to each roll of film)
> 2. date photo was taken
> 3. VDHR identification number for the property

Along the lower border of each photograph the subject of the photograph should be written. Examples: "Main House, south elevation" or "Main House, second-floor southeast bedroom" or "Barn, north of Main House, east elevation" or "Family Cemetery southeast of Main House". It is very helpful if the building address and the jurisdiction (county, city or town) be included.

Photographs must be submitted in transparent photo sheets (PrintFile brand, style 35-10P), provided by the VDHR Archives upon request for DHR funded projects. DHR will provide information on obtaining archival photo sleeves for other projects. Each photo sheet holds up to ten 3 ½" X 5" photos (4" X 6" photos will not fit) arranged back-to-back.

3. Color Slides

Some survey projects will require color slides for intensively-surveyed properties, public slide presentations or to accompany Preliminary Information Forms. They should be labeled with the property name, VDHR identification number, and location (county, independent city, or town/county), and with the date if it doesn't appear on the matte.

C. USGS Topographic Quadrangle Maps

For all rural, urban, and historic district survey projects a set of United States Geological Survey topographic quadrangle maps of the survey area must be provided on which each surveyed property is circled and identified by historic property name and VDHR identification number. If the scale of a USGS map is not sufficient to clearly provide locations of surveyed properties, such as in a densely populated urban area, the surveyor should mark the appropriate USGS map in one of two ways:

1.) If the surveyor is recording buildings in an historic district, indicate the approximate boundaries of the historic district on the appropriate USGS quadrangle map.

2.) If selective survey in an urban area (other than in an historic district) is undertaken, the surveyor should draw a perfect circle (drawn with a compass or template) over the general survey area on the appropriate USGS map (see Map 2 below). The location of each surveyed property should then be indicated on a photocopied section of a city base map, tax parcel map, or other map and submitted with the respective survey form and photos for that property in a single survey file envelope.

Chapter 6

Guidelines for Preparing Architectural Survey Reports
July 1999
Introduction

The Department of Historic Resources (DHR) functions as the Virginia State Historic Preservation Office (SHPO) for the Commonwealth of Virginia. Each year the Department undertakes surveys of the state's historical resources. Surveys are often accomplished in cooperation with local governments, undertaken by VDHR staff and/or by consultants or trained volunteers. The guidelines outlined in this document are recommended for all survey projects except those conducted pursuant to Section 106. Guidelines for 106 surveys are available from the Department Project Review division. These guidelines are required for projects funded by the Department including any project receiving funding assistance through the State Survey and Planning Fund (Cost Share).

The Secretary of the Interior has established national standards and guidelines for State Historic preservation offices to use for all historic preservation activities, including survey and planning. These standards are titled *Archaeology and Historic preservation; Secretary of the Interior's Standards and Guidelines (*48 FR 44716-44742). Those undertaking an architectural survey should familiarize themselves with these standards and guidelines. The Department's guidelines containing in this document are derived from the Secretary's *Standards* and are to serve as a comprehensive outline for the preparation of survey reports.

The preparation of survey reports is not an academic exercise, but rather is intended to synthesize pertinent information about cultural resources that may be useful to planning efforts at the local and state levels. Preparers of survey reports are encouraged to consider the utility of these documents to a variety of users.

These guidelines are not intended to serve as instructions on how to conduct architectural survey.

GENERAL FORMAT REQUIREMENTS
FOR
ARCHITECTURAL SURVEY REPORTS

A. Survey reports should be formatted using MS Word (preferred) or Word Perfect 6.1 or higher and a disk with the text should be submitted to DHR.

B. For all illustrations, include figure number, a caption, a scale or indication that it is not to scale (NTS), a compass orientation (north arrow), and a source. Illustrations must be legible. Field sketches typically are not appropriate unless they constitute part of the historic documentation of the resources. Reproducing historic documents and/or maps is encouraged. It is preferred that illustrations be scattered through the report rather than grouped together.

C. For photographs, include a caption describing or indicating the view orientation. Photos contained within the text of the report are preferred rather than grouped as an appendix. Photographs must be black and white and in 35 mm 3" x 5". They may be scanned. Original photographs (if used) must be dry-mounted.

D. All reports must be submitted bound. The use of plastic spiral bindings is preferred. Other types of binding such as velo, glued, and pressboard do not withstand repeated use in the DHR archives. In addition, state law requires the use of ph-neutral (archivally stable) paper in all documents that are considered permanent records of the history of the Commonwealth.

REQUIRED COMPONENTS OF ARCHITECTURAL SURVEY REPORTS

I. **COVER**

Provide <u>illustrated</u> card-stock cover, preferably not a dark color

II. **TITLE PAGE**

Provide the following project identification information
a. Title of Report including name and location of survey
b. Author(s), principal investigator(s), organizational affiliation, address and phone number
c. Name, address and telephone number of client for whom report was prepared

d. Date of report
e. The DHR project review "project number" (generally the year the project was initiated followed by a four-digit identifier.   Example "2001-0564" or "RFP 2000/2001-0002"

III.   TABLE OF CONTENTS

The Table of Contents should include at a minimum the following:
Abstract

Acknowledgements

List of Maps, illustrations, tables

Introduction/description of survey (including estimated acreage covered)

Historic contexts

Research Design

Objective

Methods

Expected Results

Survey Findings

Archaeological Assessment, if applicable

Evaluation- including Multiple Property Documentation Form (MPDF) if applicable

Recommendations

Bibliography

Appendices (including Preliminary Information Forms, DSS-generated lists (chronological, numeric, contextural, by USGS quadrangle)

IV. ABSTRACT
> A brief summary of the survey project, the purpose of the survey, the findings, and the recommendations of the principal investigator. This summary should include the **total acreage** covered by the survey and the total number of resources survey and the level (reconnaissance or intensive) to which they were surveyed. <u>Abstracts should be no longer than one page.</u>

V. ACKNOWLEDGEMENTS
> This section should briefly credit funding sources, volunteers, members of local governments or advisory committees and any other contributors to the project.

VI. LIST OF MAPS, ILLUSTRATIONS, TABLES
> List should include figure number, subject and/or title of graphic and page number. Report must contain a map of surveyed area, preferably denoting locations of all properties surveyed. It is preferred that illustrations be interspersed through the text rather than grouped together at the end.

VII. INTRODUCTION/DESCRIPTION OF PROJECT
> Include the following minimal information in this section:

A. Sponsors of survey and other appropriate information
B. Description of survey including geographical limits, and explicit statement of actual acreage surveyed
C. Purpose of report and discussion of scope of work;
D. Dates of investigation and staff composition
E. Maps (maps must show precisely, and in a scale easily readable, the location and boundaries of the survey)

VIII. HISTORIC CONTEXT
> The development of an historic context for the survey area is one of the key components of the survey report. According to federal standards, an historic context "organized information based on a cultural theme and its geographic and chronological limits." A description of the physical setting combined with a narrative history of the county or region does not constitute an historic context.
>
> DHR has developed guidance for the preparation of historic contexts. Please reference Chapter 3: <u>How to use Historic Contexts in Virginia: A Guide for Survey, Registration, Protection and Treatment Projects.</u> The historic contexts must apply, but not be limited to, all applicable contexts defined by DHR. Please note that the level of effort in context

development can vary according to the needs of the survey.

It is recommended that the in-depth discussion of historic themes be preceded by an historic overview that synthesizes the historic context in the form of a chronological narrative.   Within the overview, introduce important patterns, events, persons, or cultural values and identify property types associated with important historic themes. The overview should characterize the general location and distributional patterns of historic resources.

Historic contexts should address:

A.   A description of those natural characteristics and cultural patterns that have influences the use of the landscape through time as well as the survival of the cultural record. Emphasis should be placed on the relationship of the environmental setting to the development of the built environment and the evolution of architectural and community patterns.

B.   An assessment of existing resource documentation for the survey area. This assessment includes resources identified and/or evaluated in the DHR archives as well as an assessment of previous survey and historic context development efforts. Properties previously listed on the Virginia landmarks and National registers must be discussed and their boundaries delineated on project maps contained within the report. Because "the passage of time or changing perceptions of significance may justify reevaluation of properties that were previously determined to be eligible or ineligible," (36 CFR 800.4c), the report must address whether the original register boundaries are appropriate. This report, if appropriate, should explore the possibility that larger areas may now be considered eligible for the registers. For example, a rural property originally evaluated within an architectural context may have significance within an agricultural context as well. In some cases, however, the survey may determine that the listed property no longer qualified for the registers, or that changes to part of the property justify a recommendation for a boundary reduction.

C.   A discussion organized by time periods of cultural themes as they are represented by surveyed resources constructed during those time periods.

D.   A comparative discussion of the character-defining features of the surveyed resources, also organized by time period and theme.

E.   A summation of the cultural significance of surveyed resources, specifically stating whether they qualify for the Virginia Landmarks Register and the National Register of Historic Places, based in the

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interactive consideration of geography, times and themes.

F.   The survey report should also include an appendix listing surveyed resources grouped by the themes (this can be generated from the DSS) discussed in the body of the historic context. Each thematic listing should be headed by an analysis of the range and character-defining features of the surveyed properties listed in that category.

Chapter 7

Guidelines for Archaeological Investigations in Virginia
(1996)

Additional Guidance for the Implementation of the Federal Standards Entitled

Archeology and Historic Preservation:

Secretary of the Interior's Standards and Guidelines

(48 FR 44716-44742, September 29, 1983)

INTRODUCTION

The Secretary of the Interior has developed broad national performance standards and guidelines to assist federal agencies in carrying out their historic preservation activities. These federal standards and guidelines are entitled *Archeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines* (48 FR 44716-44742). Professionals working in Virginia have long recognized the need to standardize archaeological field investigations. This set of guidelines was established to meet this need and to fill the gap between the broad-based federal guidelines and the various previously published field manuals. The Department of Historic Resources' (DHR) guidelines are intended to provide standards and offer general guidance without hindering the development and use of new and innovative approaches.

The intent is to clarify expectations for archaeologists, their clients and the public. The guidelines describe widely accepted archaeological practices used in the mid-Atlantic region. They also encourage the selection of methods and techniques generally found to be the most efficient and cost-effective.

It is hoped that these guidelines will enable project sponsors to better understand and assess proposals for archaeological survey. Users of the guidelines should feel free to contact DHR staff with questions about particular problems or projects. It is anticipated that the guidelines will be updated at regular intervals to incorporate unanticipated considerations and new approaches.

DEFINITION OF AN ARCHAEOLOGICAL SITE

In general terms, an archaeological site is defined as the physical remains of any area of human activity greater than 50 years of age for which a boundary can be established. Examples of such resources would include the following: domestic/habitation sites, industrial sites, earthworks, mounds, quarries, canals, roads, shipwrecks, etc. Under the general definition, a broad range of site types would qualify as archaeological sites without the identification of any artifacts. To establish a boundary for archaeological sites manifested exclusively by artifacts, the recovery of a minimum of three items is needed, related either temporally or functionally and located within a spatially restricted area (300 square feet area is suggested). Exceptions to this definition *may* include any cultural material that has been redeposited, reflects casual discard, or represents one episode of behavior. Other items to consider in deciding whether or not an area warrants a site designation include survey conditions, survey methods and site types. Additional guidance on underwater site definition may be found in *An Assessment of Virginia's Underwater Cultural Resources*, Department of Historic Resources Survey and Planning Report Series No. 3 (1994). Any occurrence that does not qualify for a site designation should be termed a location.

Estimates of site boundaries may be based on the spatial distribution of artifacts and/or cultural features and their relationship to other features of the natural (landform, drainage) and cultural environment (historic landscape features). In addition, historic background information should be taken into consideration when defining the boundaries of a historic site. It is recognized that the boundaries for resources located in urban or underwater environments may be difficult to estimate at the Phase I level. For all archaeological sites identified, a DHR Archaeological Site Inventory Form must be completed and submitted to DHR for review and approval. Effective September 1, 1996 all archaeological as well as architectural survey records must be submitted to DHR on disk in the Integrated Preservation Software (IPS) format.

LEVELS OF INVESTIGATION

There are three levels of documentation for cultural resources. The first two levels constitute components of what is defined in the federal standards as an "**intensive**" survey. Please recognize that this is different from a "**reconnaissance**" survey. Although defined in the federal standards, a reconnaissance level survey is not appropriate for projects submitted for review pursuant to Section 106 unless otherwise agreed upon by the DHR and the project sponsor. For practical purposes the DHR has divided an intensive survey into two levels: identification (Phase I) and evaluation (Phase II). The third level (Phase III)

constitutes treatment for significant resources. The DHR normally does not recognize additional division into sub-phases (i.e., Phase Ia and Phase Ib).

Each phase is defined briefly below.

Identification (Phase I). Identification involves compiling all relevant background information, along with comprehensive recordation of all sites, buildings, structures, objects and potential districts within the survey area.2   This information is used in planning and making decisions about historic resource management needs. The goals of a Phase I archaeological investigation are:

- ■   to locate and identify all archaeological sites in the survey area;

- ■   to estimate site size and boundaries and to provide an explanation as to how the estimate was made; and

- ■   to assess the site's potential for further (Phase II) investigation.

Evaluation (Phase II). Evaluation of a resource's significance entails assessing the characteristics of a property against a defined historic context and the criteria of the Virginia Landmarks Register and the National Register of Historic Places (National Register). The evaluation shall result in a definition of those resources which are eligible or ineligible for Virginia Landmarks and National Register listing. The purpose of a site evaluation is:

- ■   to determine whether the site is eligible for the National Register; and

- ■   to provide recommendations for future treatment of the site.

These goals can best be met when research strategies focus on determining site chronology, site function, intrasite structure and integrity. At the conclusion of a Phase II evaluation, the site boundaries should be accurately defined and the horizontal and vertical integrity of the site assessed. The level of effort and the methods employed will vary depending upon site size, site type and the environmental setting.

It is important to note that resource evaluations **must** apply to the resource as a whole, not just to the portion of the resource within the project area. Sites evaluated as part of a

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2 "All" is defined as those resources that have been identified through a reasonable and good faith survey effort. The DHR acknowledges the occasional incident of late discovery and provisions for such are provided in 36 CFR 800.11. "All" usually includes resources 50 years of age or greater as recognized by the National Register of Historic Places (36 CFR 60). Please note that some resources not yet 50 years old may be of exceptional importance and may need to be identified.

federal or state agency undertaking should be evaluated in their entirety, not just within the immediate project boundaries. However, testing strategies for Phase II evaluation studies may focus primarily on that portion of the resource that will be directly affected by the proposed project.

Treatment (Phase III). Once the significance of a historic property has been established, the appropriate treatment for the resource is implemented. Only **after** evaluations are completed are treatment plans or documents developed. Treatment can include a variety of measures such as avoidance, recordation, data recovery, development of an historic preservation plan, rehabilitation or restoration. Documentation requirements for treatment are determined on a case-by-case basis.

RESEARCH DESIGN

Regardless of level, all archaeological investigations should be guided by prepared research designs which refer to regional preservation plans and embody a wide range of theoretical and methodological approaches. Research designs cannot and should not predetermine what one will find in the field but should be flexible in response to changing project needs and discoveries in the field.

IDENTIFICATION (PHASE I)

PHASE I BACKGROUND RESEARCH

Background research provides information regarding historic contexts and anticipated locations, frequency, and types of sites in the survey area. Background research should identify:

- previous archeological research in the area;

- the degree of existing disturbance;

- high and low probability areas; and

- the location of historic map-projected sites.

The purpose of the background research is **not** to produce 1) a general prehistoric chronology; 2) an exhaustive general history of the county; or 3) an exhaustive synthesis of deed records or cartographic resources. A general historic context should be developed to

the level needed to aid in site specific recommendations. Background research should be conducted before field investigations are initiated. The level of background research should be appropriate to the scale of the project.

Sources of potentially valuable information are numerous and varied, including published and written texts, oral accounts, official documents, family records, artifact collections, and observations about folkways. In addition to more traditional sources of information such as state and university repositories, specialists and locally knowledgeable persons should be consulted along with local governments, historical societies, museums, libraries, etc. References to previous cultural resource studies and to existing archaeological collections and other data is a particularly valuable source of information.

Conventional Survey

At a minimum, the following sources should be considered:

- DHR Archaeological Site Inventory. This contains information on site type, temporal affiliation, location and settlement pattern data and other site characteristics of previously recorded sites in the survey area and vicinity;

- DHR library of cultural resource reports. These reports contain information similar to the archaeological site files but with additional data on historic contexts, regional chronologies, and settlement and subsistence patterns;

- Residents or informants with knowledge of local resources. Such people may have information on previously unrecorded sites in the area or can offer an oral history for historic sites;

- DHR Architectural Site and Structures Inventory. This contains information on types of historic sites and structures, temporal affiliation, and location and settlement pattern data for structures that may no longer be extant;

- Archival map research. Holdings at the Virginia State Library and Archives are indexed according to county. Other sources include the Gilmer maps, and U.S.G.S. quadrangles over 50 years old. The *Official Military Atlas of the Civil War* as well as the maps prepared between 1991 and 1994 by the Civil War Sites Advisory Commission should also be considered ;

- Local county histories. These often contain site specific information.

Special Environment Surveys

Surveys can be conducted in environments where conventional site discovery methods cannot be employed. The two most common examples are urban environments, where modern construction materials obscure the ground surface, and underwater environments, where resources may be submerged. More intensive background research is necessary for these types of environments, and different sources of background information are available.

Urban sites -- Urban areas often contain buried historic remains but they may also contain prehistoric sites or sites that were previously underwater or in rural settings. Documentary research should be performed as early as possible in the project planning stage well in advance of any pending construction. At a minimum, the research should consider the following:

- Archival records, such as city directories, city ordinances, Sanborn insurance maps, census data, etc.;

- Relevant information on previous disturbance. Construction that may have disturbed earlier deposits may be assessed by a visual inspection of the survey area and an examination of any records that relate to ground disturbance activities (e.g. presence of basements on Sanborn insurance maps, construction of utility lines, etc.);

- Historic maps that contain locational data on structures; and

- Historic photographs and illustrations (e.g. *Harper's Weekly*, etc.).

Underwater sites -- Underwater sites may consist of sites that were once terrestrial (either prehistoric or historic), shipwrecks, docks, piers, launch ways, etc. Professionals working in underwater environments should consider the following:

- DHR Archaeological Site Inventory and library of cultural resource reports;

- The degree of previous disturbance (dredging, etc.);

- Documents such as navigation charts, naval records, bathymetric charts, geological charts, etc.;

- Interviews with local divers and watermen; and

■ Piers and other associated terrestrial remains that may suggest the presence of submerged resources.

PHASE I METHODS

Field methods should be appropriate to existing field conditions, should be based on a research design, and should reflect the current state of professional knowledge.

Conventional Survey

When field conditions warrant, systematic visual inspection of plowed fields and surface collection of artifacts has proven to be a highly effective and efficient method of site survey. We encourage replowing and discing prior to inspection. All exposed surfaces should be inspected. However, at least 50% exposure is needed to warrant visual inspection without complementary subsurface investigation.

When an archaeological site is identified by visual inspection, excavation of at least two shovel test pits (STPs) is recommended to assess site depth and presence or absence of intact cultural strata and/or features. However, low probability areas (e.g. poorly drained soils, steep slopes, generally with a grade greater than 15%) and extensively disturbed areas need only be subject to visual inspection. For large survey areas that utilize predictive models at the Phase I level to identify archaeological sites, verification of the model should include testing of at least 10% of the identified low probability areas.

Excavation of small (generally one foot in diameter) STPs remains one of the most reliable means of site identification in areas of low surface visibility. Whenever possible, STPs should be tied to a known datum or fixed reference point, with their location clearly marked on appropriate maps.

As a general rule STPs should be excavated at intervals no greater than 50 feet and should continue to sterile subsoil if possible. It is recognized that different site types, as well as soils and topography, may justify a larger STP interval. Justification for the STP interval selected should be clearly presented in the report. Similarly a tighter interval should be considered if small, low-density sites are anticipated. The standard 50-foot interval for STPs may also be augmented by judgmental testing in

■ high probability areas;

■ map-projected site areas; and

■ areas containing vegetation or cultural landscape features associated with

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historic sites.

Additional STPs at tighter intervals should be excavated to determine whether individual artifacts recovered from one STP with no adjacent positive STPs are isolated finds or small low density sites. An attempt should be made to estimate the site boundaries at this stage of the investigation. The boundaries for sites in areas of poor surface visibility may be defined by the excavation of STPs in a cruciform pattern or at radial transects (Chartkoff, 1978).

All soils from STPs must be screened through 0.25 " hardware cloth. All artifacts should be retained with the exception of materials such as brick, shell, charcoal, etc., which may be noted in the field, a sample retained and the remainder discarded.

If extensive colluvial or alluvial deposits are known to be present in the survey area, consideration should be given to identifying buried sites. Deep testing accomplished with heavy equipment is the standard site discovery method for locating deeply buried sites.

Notes on all STPs should be recorded and should include information on survey/site/transect identification and location, either a profile drawing or detailed description of strata, soil types and Munsell descriptions, depth measurement, and a list of artifacts (both kept and discarded). It is important to note the environmental conditions under which any testing strategy was employed (e.g. adverse weather, condition of ground surface, etc.).

A detailed map should be prepared showing areas surveyed, areas eliminated from survey due to disturbance, slope, wetness, etc., and the location of the positive and negative STPs.

Remote sensing

Remote sensing is used to augment more traditional survey methods by identifying high potential areas for subsurface testing. Remote sensing (using metal detectors, proton magnetometers and ground penetrating radar, etc.) may be appropriate for certain types of sites, particularly for underwater sites. A specific case must be made in the research design for the use of remote sensing and its relationship to other survey methods must be made explicit. In underwater survey, remote sensing is often effective in identifying targets for later diver verification.

Special environment surveys

Urban sites -- Archeological testing in urban settings often involves unusual circumstances. We recommend that research designs for urban Phase I surveys

be discussed in advance with DHR staff. Prior documentary research is critical because the spatial limits of urban archeological deposits often cannot be defined in the same manner as the boundaries of non-urban sites. Such research may aid in determining the historical boundaries of streets, blocks, house lots, etc.

In general, identification efforts in an urban area should include:

- Test units (in most cases larger than STPs) based upon available documentary evidence and current site conditions;

- Identification of the presence, distribution, and preservation of architectural evidence, site stratigraphy, features, and assessment of site significance based upon all available documentary evidence. Previous work at urban sites indicates it is useful to target midlot and backlot areas for cellars, privies, wells and cisterns;

- Recordation and assessment of features containing large numbers of artifacts;

- The use of mechanized equipment, such as backhoes, excavators, front end loaders, etc. Mechanized equipment is efficient for exposing buried deposits, particularly when the overburden of fill is deep. It should be recognized, however, that the fill may be seen as part of the history of the site itself and not simply as a modern intrusion. Mechanized equipment should be used with care to complement more traditional archaeological strategies;

- Sampling strategies for artifact recovery. Sampling strategies should be addressed on an individual basis and the method chosen justified in the research design;

- Recordation of excavation procedures including drawings and photographs; and

- Compliance with OSHA guidelines.

Underwater sites -- Archaeological testing in underwater settings often involves unusual circumstances. We recommend that research designs for underwater

Phase I surveys be discussed in advance with DHR staff.

In general, identification efforts in an underwater setting should include:

- Placement of test units based on remote sensing results and knowledge of the sunken vessel or submerged cultural remains;

- Use of mechanized equipment where extensive modern overburden is present;

- Careful examination of air-lifted and water-dredged soil samples. The soil samples should always be screened through mesh or net bagging.

- Recordation of the excavation procedure to include drawings and photographs if visibility permits; and

- Compliance with safety standards of nationally recognized diving organizations (PADI, NAUI, SSI, etc.).

For more detailed guidance regarding methods for underwater survey, consult state guidelines for underwater archeology prepared by Maryland and North Carolina.

EVALUATION (PHASE II)

The goals of Phase II evaluation survey are:

- to determine whether the site is eligible for the National Register of Historic Places; and

- to provide recommendations for future treatment of the site.

Phase II evaluation should accurately assess the horizontal and vertical integrity of the site as well as define the site boundaries. The level of effort and the methods employed will vary depending upon the environmental setting and site type. The site should be evaluated in its entirety, not just within the immediate project boundaries. However, testing strategies for Phase II evaluation studies may focus primarily on that portion of the resource to be directly affected by the proposed project.

PHASE II BACKGROUND RESEARCH

Background research should always be conducted prior to the initiation of any fieldwork. Background research should be sufficient to form research questions and to develop relevant historic contexts to aid in determining the site's eligibility for the National Register of Historic Places.

Phase II background research should expand and refine the research conducted during the Phase I identification by:

- a more intensive examination of reports and records consulted during the Phase I survey;

- more in-depth interviews with informants; and

- examination of more detailed records, (e.g. deed records, tax records, census records, probate records, circuit court records, etc.).

Background research for prehistoric period sites should focus on gathering more detailed information concerning site chronology, function, and regional settlement and subsistence patterns. For historic sites, background research should focus on site-specific data such as site chronology, function, and the ethnicity and socioeconomic status of site occupants.

PHASE II METHODS

The choice of field methods should be based upon a research design and should always reflect the current state of professional knowledge.

Accurately defining site boundaries is a goal that can often be accomplished by conducting a controlled surface collection for those sites having good ground surface visibility. Sites with poor surface visibility may require an intensive testing program to establish boundaries.

Testing strategies should take into account the following:

- results of the Phase I testing;

- results of background research;

- cultural or natural features located on the surface (e.g. mounds, cellar depressions, fencelines, avoidance of previously disturbed areas, large trees etc.);

- systematic or probablistic sampling schemes; and

■   remote sensing results.

Consideration should be given to placing test units larger than STPs in areas with differing artifact types and densities. Phase II testing strategies should result in the recovery of a representative sample of artifacts and determine the presence or absence of intact features.

Features may require sampling on a case-by-case basis to verify their cultural association and to determine their age, function and research potential. When previously recovered data addresses these issues, feature excavation should not be undertaken. While it is impossible to define a point applicable in all instances at which testing ends and data recovery begins, a rule of thumb is that testing is completed when sufficient information has been gathered to make a determination of eligibility or a management decision. "Testing" that destroys large portions of a site prevents the consideration of other site treatment alternatives and should be avoided at the Phase II level.

A permanent, fixed datum should be established on all sites recommended for Phase III data recovery.

Special Environments

Testing strategies at urban and underwater sites should be based on the results of intensive archival research and of the Phase I testing. Safety factors should be considered in determining the need for further work to be conducted in special environments. This includes properties with documented hazardous material, as well as deeply buried sites. Appropriate safety standards should be adhered to in all cases.

PHASE II FIELD DOCUMENTATION

As with Phase I identification, the choice of methods for recording Phase II evaluation field data should be based on a research design and enable independent interpretation. At a minimum, the following information should be recorded:

Test unit documentation should include the following:

■   provenience;
■   name of excavator;
■   date;
■   description of cultural material;
■   soils;
■   profile; and
■   planview.

The site map should include the following:

- orientation and scale;
- location of all STPs, larger size test units, and all above ground cultural features, including cultural landscape features and any previously disturbed areas;
- site datum; and
- site boundaries.

Photo documentation should be provided for

- All cultural features evident on the surface (e.g. mounds, cellar depressions, etc.); and

- All cultural evidence beneath the surface (e.g. features, significant stratigraphy, etc.).

Provenience documentation should be provided for the horizontal and vertical provenience of each artifact or collection of artifacts.

PHASE II ANALYSIS

Phase II analysis should be oriented toward evaluation of the site and its ability to answer important research questions. This may be accomplished by

- Examination of intrasite structure;

- Discussion of the relationship between surface and subsurface remains; and

- Tabulation of data on provenience.

The evaluation should take into account the percentage of the site area excavated and consider how well the excavated portion represents the site as a whole.

EVALUATION OF HUMAN REMAINS

Human burials represent an unique resource and require special consideration when being evaluated for the National Register. As a general rule, cemeteries are not considered eligible for listing on the National Register. For specific guidance on criteria for listing cemeteries, refer to National Register Bulletin 41, *Guidelines for Evaluating and Registering Cemeteries and Burial Places*. If the evaluation includes the archaeological

removal from *in situ* placement of humans remains and/or associated grave goods, a permit from DHR is needed in accordance with *Code of Virginia* 10.1-2305.

When evaluating burials for listing on the National Register, the following items are considered by DHR in making its decisions:

- Historic documentation, if applicable

- Clearly delineated features (grave shafts)

- Artifacts

- Bone preservation

In general, burials must have good bone preservation in order to be eligible under criterion D. However, it may be possible to demonstrate significance without good bone preservation if documentation, along with artifacts, can establish a secure date for the remains and demonstrate the ability of the resource to provide significant new information on topics such as mortuary practices, etc.

PHASE III (DATA RECOVERY)

All due consideration should be given to practical methods of preserving significant archaeological sites in place. However, when appropriate consultation has taken place, and it is agreed that preservation in place is not practical, data recovery may be appropriate. Data recovery should address defined and defensible research questions. It should be conducted in the most efficient manner possible. There is no single or standard way. The nature, scope and boundaries of the data recovery will be determined by the parties consulting on the project.

In terms of the **substantive content**, we recommend that the research design be guided by certain basic principles presented in the Advisory Council on Historic Preservation's booklet *Consulting About Archeology Under Section 106* (1990). The preparer of a data recovery plan should ensure that:

- The amount and areas of the site to be excavated are reasonable given the anticipated project impacts to the site, and the questions posed in the data recovery plan are answerable given the excavation strategy;

- The research questions appear logical, current and answerable in terms of the potential information the site(s) can be expected to yield given the

amount and nature of excavation proposed; and

■   The proposed field and laboratory methods for retrieving the information are consonant with the questions asked of the data.

All data recovery plans should include the following elements:

■   Information on the archaeological property or properties where data recovery is to be carried out, and the context in which such properties are eligible for the National Register;

■   Discussion of the research questions to be addressed through the data recovery, with an explanation/justification of their relevance and importance;

■   Description of the recovery methods to be used, with an explanation of their pertinence to the research questions;

■   Information on arrangements for any regular progress reports or meetings to keep agency managers and SHPOs up to date on the course of the work;

■   Description of the proposed disposition of recovered materials and records, along with evidence of agreement regarding curatorial responsibilities;

■   Proposed methods for disseminating results of the work to the interested public (e.g. presentation during Virginia Archaeology Month, etc.); and

■   Proposed methods by which any relevant Indian tribes, local governments and other specific groups will be kept informed of the work, and if human remains or grave goods are expected to be encountered, information on consultation with the Virginia Council on Indians, the United Indians of Virginia and any other relevant Indian tribe regarding final disposition of the materials.

CURATION OF ARTIFACTS AND DOCUMENTATION

Archaeological investigations usually result in the retrieval of archaeological materials (artifacts) and production of original data (notes, records, photographs) for a project. Artifacts and data are an integral part of the documentary record of an archaeological site and should be curated to ensure their stability and availability for future research.

Artifacts that are removed from private lands in connection with a federal action are generally the property of the land owner. Notes, records and photographs generated as a result of a federal action are the property of the federal government, regardless of the location of the archeological site. Provision for the costs of curation may be made a condition to the issuance of a federal license or permit. When the owner cannot provide proper curatorial care, the federal curation standards recommend but do not require that the federal agency seek title to the collection.

The place where a project's artifacts and original data will be curated should be determined before beginning any fieldwork. DHR encourages placement of collections with the Virginia Archaeological Curation Facility, the principal repository for archaeological materials recovered from sites in Virginia. Prior to acceptance of a collection, DHR requires documentation of ownership or a Memorandum of Understanding with the involved state or federal agency clearly establishing curation responsibilities. The current fee is $150.00 per Hollinger box.

The National Park Service has established federal curation standards, entitled *Curation of Federally Owned and Administered Archeological Collections* (36 CFR 79), which apply to surveys, excavation or other studies conducted in connection with a federal action, assistance, license or permit. In 1993 DHR, in consultation with the Council of Virginia Archaeologists, established minimum standards for the processing and curation of archaeological collections. These standards should be followed for all collections to be curated by DHR. DHR recommends adherence to these requirements for all archaeological collections generated in Virginia, in order to standardize curation practices, ensure professionalism in the treatment of archaeological materials, and to assure the availability of collections and documentation for future research.

Any repository that is providing curatorial services for a collection subject to the federal regulations must possess the capability to provide adequate long-term curatorial services, as set forth in 36 CFR 79, to safeguard and preserve the associated records and any material remains deposited in the repository. There is no grandfather clause in the federal regulations. This applies equally to repositories that agree to preserve collections after the effective date (October 12, 1990) as well as repositories that agreed prior to that date. If a repository's officials find that they are no longer able to provide long-term curation, they have the responsibility to consult with the federal agency responsible for the project regarding an acceptable repository for the existing collections.

PERSONNEL

The Principal Investigator has the responsibility to conduct field investigations in a manner that will add to the understanding of past cultures and will develop better theories, methods

and techniques for interpreting the archaeological record while causing minimal attrition of the archaeological resource base. The Principal Investigator must meet the professional standards set by the Secretary of the Interior and has the ultimate responsibility for the overall quality of the project and for achieving the objectives of the research design. The skills of the investigative personnel must be appropriate to the nature of the project and to the goals and specifications delineated in the research design.

PERMITS

The following permits may be necessary to conduct archaeological work in the state. The Principal Investigator is responsible for ensuring that any applicable permits are acquired.

- Human remains (administered by DHR, *Code of Virginia* 10.1-2305). A permit from DHR is needed for the archaeological removal from *in situ* placement of humans remains and/or associated grave goods;

- State owned lands (administered by DHR, *Code of Virginia* 10-1-2302). A permit is need from DHR for excavation of archaeological sites on state-owned lands or state designated archaeological sites or zones.

- Cave permits (administered by Department of Conservation and Recreation, *Code of Virginia* 10.1-1000-1008);

- Underwater permits (administered by the Virginia Marine Resources Commission, *Code of Virginia* 10.1-2214 and 28.2-1203, and the United States Army Corps of Engineers, Section 10 of the Rivers and Harbors Act of 1899 (33 U.S.C. § 403), and Section 404 of the Clean Water Act [42 U.S.C. § 7506(c)].). A state owned lands permit is needed from the DHR for archaeological excavations on submerged state-owned lands;

- Federal lands permit [Archeological Resources Protection Act of 1979 (ARPA) 16 U.S.C. §§ 469-469c]. ARPA permits are issued by the federal agency owning the land; and

- Local permits as required.

REFERENCES CITED

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    1990 *Consulting About Archeology Under Section 106*. U.S. Government Printing Office, Washington, D.C.

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    1978   Transect Interval Sampling in Forests. *American Antiquity* 43:46-53.

National Historic Preservation Act of 1966, 16 U.S.C. §§ 470-470w-6.

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    1993 *State Curation Standards*.

U.S. Department of the Interior, National Park Service.
    1983 Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines. *Federal Register* 48(190):44716-44742

    1992 *Guidelines for Evaluating and Registering Cemeteries and Burial Places*. National Register Bulletin No. 41. U.S. Government Printing Office.

    1990 Curation of Federally Owned and Administered Archeological Collections; Final Rule.*Federal Register* 55 (177): 37616-37639.

Chapter 8

GUIDELINES FOR PREPARING

IDENTIFICATION AND EVALUATION REPORTS

FOR SUBMISSION PURSUANT TO

Sections 106 and 110, National Historic Preservation Act

Environmental Impact Reports of State Agencies

Virginia Appropriation Act, 1992 Session Amendments
June 1992
Revised 1999

The Virginia Department of Historic Resources (DHR) functions as the Virginia State Historic Preservation Office (SHPO). Each year DHR receives and reviews several hundred identification and evaluation reports. The majority of these reports are submitted to this office for review pursuant to Section 106 of the National Historic Preservation Act, 1966, as amended, and other applicable state mandates.3 Section 106 and 36 CFR 800, the regulations governing the Section 106 process, require federal agencies and recipients of federal funds and permits to identify, evaluate, and assess effects to historic properties prior to implementing an undertaking. The Secretary of the Interior has established national standards and guidelines for State Historic Preservation Offices and federal agencies to use for all historic preservation activities. These standards are titled <u>Archaeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines</u> (48 FR 44716-44742). Of particular importance is the concept that "identification of historic properties is undertaken to the degree required to make decisions" (Identification Standard I). Please recognize that information presented in survey documentation specifically is intended to support management decisions regarding historic properties in relation to federal and state undertakings.

The DHR has prepared these guidelines for use by project sponsors and consultants obligated to provide specific levels of documentation pursuant to Section 106

3<u>Code of Virginia</u> § 10.1-1208 (1991 Cum. Supp.), Environmental Impact Reports of State Agencies; and, The Appropriation Act § 4-4.01(o), Chapter 893, Acts of the Assembly, 1992.

and applicable state mandates. These guidelines are derived from the Standards and are to serve as a comprehensive outline for preparation of identification and evaluation reports. The federal standards are to be adhered to by all agencies and persons preparing survey reports in the Commonwealth of Virginia for both federal and state activities. **These guidelines are not intended to serve as instructions on how to do architectural or archaeological survey**. However, documents concerning survey and other historic preservation practices have been developed by the DHR and are available .

There are three levels of documentation for cultural resources. The first two levels constitute components of what is defined in the federal standards as an "**intensive**" survey. Please recognize that this is different from a "**reconnaissance**" survey. Although defined in the federal standards, reconnaissance does not apply for projects submitted for review pursuant to Section 106 unless otherwise agreed upon by the DHR and the project sponsor. For practical purposes the DHR has divided an intensive survey into two levels: identification (phase I) and evaluation (phase II). The third level (phase III) constitutes treatment for significant resources. The level of treatment documentation is determined on a project specific basis. The DHR normally does not recognize additional division into sub-phases (i.e., phase Ia and phase Ib).

Each phase is defined briefly below. Future survey guidelines will provide detailed information on the implementation of studies for each of the defined phases. Following the discussion of the three phases is a discussion on the various components of a survey report and a checklist of those items required in each report. The DHR will use this checklist for every survey report submitted for review. **Survey reports submitted to the DHR that do not contain one or more of the required items may be returned for modification, resulting in delayed reviews.**

> **New Requirement: Two copies of all final survey reports must be submitted to the Department of Historic Resources.**

Identification - Phase I - Identification involves compiling all relevant background information, along with comprehensive recordation of all potential districts, sites, buildings, structures, and objects within the area of potential effect.4   This information is used in planning and making decisions about historic resource management needs.

Evaluation - Phase II - Evaluation of a resource's significance entails assessing the

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4 "All" is defined as those resources that have been identified through a reasonable and good faith survey effort. The DHR acknowledges the occasional incident of late discovery and provisions for such are provided in 36 CFR 800.11. "All" usually includes resources 50 years of age or greater as recognized by the National Register of Historic Places (36 CFR 60). Please note that some resources not yet 50 years old may be of exceptional importance and may need to be identified.

characteristics of a property against a defined historic context and the criteria of the Virginia Landmarks Register and the National Register of Historic Places (National Register). The evaluation shall result in a definition of those resources which are eligible or ineligible for Virginia Landmarks and National Register listing. Evaluations must include a statement regarding the effect of the proposed undertaking on resources recommended as eligible for register listing.

Treatment - Phase III - Once the significance of a historic property has been established the appropriate treatment for the resource is implemented. Only **after** evaluations are completed are treatment plans or documents developed. Treatment can include a variety of measures such as avoidance, recordation, data recovery, development of an historic preservation plan, rehabilitation, or restoration. Documentation requirements for treatment are determined on a case by case basis.

The following outline applies only to identification (phase I) and evaluation (phase II) studies (intensive surveys).

REMINDER: TWO COPIES OF THE FINAL REPORT MUST BE SUBMITTED TO THE DEPARTMENT OF HISTORIC RESOURCES

ITEMS REQUIRED IN ALL SURVEY REPORTS:

I.   Title Page - Provide the following project identification information:

      A.   Title of report including name and location of undertaking;

      B.   Author(s)/principal investigator(s), organizational affiliation, address, and telephone number;

      C.   Name, address, and telephone number of client for whom report was prepared;

      D.   Lead federal/state agency project and/or permit number and the DHR project review file number;

      E.   Date of report.

II.   Abstract - A **brief** summary of the undertaking, the purpose of the survey, the findings, and the recommendations of the principal investigator. This summary should identify the sponsoring agency and include the total acreage covered by the survey. Summary of findings should include number of sites or structures recorded according to resource type (historic, prehistoric, domestic, agricultural, etc.). Summary of recommendations should include a statement regarding potential Virginia Landmarks and National Register significance (identification-phase I) or Virginia Landmarks and National Register significance (evaluation-phase II) with reference made to the relevant criteria. Abstracts for evaluation studies should also include an assessment of effect. Abstracts should be no longer than one page.

III.   Table of Contents - The Table of Contents should include at a minimum the following:
Abstract

List of Maps, Illustrations, Tables
Introduction/Description of Undertaking

Historic Context

Research Design
      Objectives
      Methods
      Expected Results

Survey Findings

Recommendations

Bibliography

Appendices

IV.   <u>Introduction/Description of Undertaking</u> - Include the following minimal information in this section:

    A.   Sponsor of undertaking, contract/permit number(s), and other appropriate agency-specific information;

    B.   Description of undertaking including geographical limits, definition of area of potential effect, and explicit statement of actual acreage surveyed.

    C.   Purpose of report and discussion of scope of work;

    D.   Dates of investigation and staff composition;

    E. Maps*

*Maps must show <u>precisely</u>, and in a scale easily readable, the location and boundaries of: (a) the undertaking; (b) the area of potential effect, if different from the undertaking, with a discussion of how this area was determined by the responsible agency. In the case of linear undertakings, these maps must depict the corridor(s) in relation to a broader geographical context.

V.   <u>Historic Context</u> - According to federal standards, an historic context "organizes information based on a cultural theme and its geographic and chronological limits." **Please recognize that a description of the physical setting combined with a narrative history of the county or region does not constitute an historic context**. The DHR has developed interim guidance for the

preparation of historic contexts. Please contact our office if you do not have a copy of the document, <u>How to Use Historic Contexts in Virginia: A Guide for Survey, Registration, Protection and Treatment Projects</u>. The historic context must apply, but not be limited to, all applicable contexts defined by the DHR. For identification (phase I) investigations, the historic context(s) for the area of potential effect needs to be sufficiently well-defined to constitute the basis for recommendations for formal evaluation of identified resources. For evaluation (phase II) studies, such contexts are defined on a greater level of detail in order to support definitive recommendations of resource eligibility or ineligibility for listing on the Virginia Landmarks and National Registers. Please note that the level of effort in context development can vary according to the needs of the survey.

For identification (phase I) and evaluation (phase II) studies, follow the framework described below:

A.   Identification (phase I): For identification studies, the context development focuses on the area of potential effect. It includes, but is not limited to, the following items:

1.   A description of those natural characteristics and cultural patterns that have influenced the use of the landscape through time as well as the survival of the cultural record. For archaeological research, relevant information might include changes in post-pleistocene climate and biota and the manner by which cultural systems adapted to those conditions. This information should be supplemented by a discussion of the manner by which archaeological research can help explain such past cultural behavior. For architectural research, emphasis should be placed on the relationship of the environmental setting to the development of the built environment and the evolution of architectural and community patterns.

2.   An assessment of existing resource documentation for the area of potential effect and its relevant environs. This assessment includes resources identified and/or evaluated in the DHR archives as well as an assessment of previous survey and historic context development efforts. Properties previously listed on the Virginia Landmarks and National Registers must be discussed and their boundaries delineated on project maps contained within the report. Because "the passage of time or changing perceptions of significance may justify reevaluation of properties that were previously

determined to be eligible or ineligible," (36 CFR 800.4(c)), the report must address whether the original register boundaries are appropriate. The report, if appropriate, should explore the possibility that larger areas may now be considered eligible for the Virginia Landmarks and National Registers. For example, a rural property originally evaluated within an architectural context may have significance within an agricultural context as well. In some cases, however, the survey may determine that the listed property no longer qualifies for the Virginia Landmarks and National Registers or that changes to part of the property justify a recommendation for a boundary reduction.

B. Evaluation (phase II): For evaluative studies (Phase II), historic contexts focus on the resource. The historic context establishes a resource's period of significance, identify the property type, and identify the applicable Register area(s) of significance and theme(s). For further guidance on this process, see National Register Bulletin 15, "How to Apply the National Register Criteria for Evaluation".

VI. Research Design -

A. Objectives: State the objectives of the identification efforts.

B. Methods: This section explains the methods and techniques used during the survey to locate and evaluate resources within the area of potential effect (i.e., what was done and why it was done). Individual statements should be provided for archival research, fieldwork, laboratory analysis, and curation/disposition of recovered specimens, notes, photographs, and other materials. It is important to state explicitly, for example, the shovel-test interval employed during an archaeological survey and whether or not excavated soil was screened. Please recognize that the methods employed in a survey must be defendable against the specific objectives (i.e., identification and/or evaluation). It is not acceptable to state that "survey was done to DHR standards."

C. Expected Results: State the expected results and reasons for those expectations. As noted in the federal standards, "Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypothesis, and analogy to the kinds of properties known to exist in areas of similar environment or history."

VII.   Survey Findings

A.   **Identification (phase I)** - Report the results of identification surveys as an inventory of resources identified within the area of potential effect. The following information is needed for each identified resource:

1.   Archaeological Resources

a.   Official Virginia inventory number for archeological sites (a temporary number will not be accepted in reports);

b.   Site size and estimated boundaries (including the manner of determination);

c.   Relevant environmental data relating to site location and setting;

d.   Approximate date(s) of occupation, if possible;

e.   Archaeological characteristics of the site including potential stratigraphy, depth, observed distribution of recovered artifacts (horizontal and vertical), and estimated integrity;

f.   Discussion of recovered material culture;

g.   Site function(s) in a regional settlement system, if possible;

h.   Recommendation of potential significance in relation to defined historic context(s);

i.   Potential effect (see 36 CFR 800.9, Criteria of Effect and Adverse Effect);

j.   Illustrations at an appropriate scale (1 inch = 200 ft, or as available), depicting the site in relation to its setting and the undertaking. These illustrations can include representative plan and profile drawings, artifact illustrations, and site photographs (see format requirements, below). Available project maps with greater detail than USGS 7.5 minute quadrangles should be used to the fullest extent possible to accurately depict the location of shovel test units, site boundaries and other pertinent resource characteristics.

2. Architectural Resources

    a.   Official Virginia inventory number for historic structures (a temporary number will not be accepted in reports);

    b.   Property name (if known) and address;

    c.   Property type and brief description of property including outbuildings and other associated resources;

    d.   Date(s) of construction, if known (approximate if not known);

    e.   Potential effect (see 36 CFR 800.9, Criteria of Effect and Adverse Effect);

    f.   Recommendation of potential significance in relation to defined historic context(s);

    g.   Recommendations for further study, if any.

B.   **Evaluation (phase II)** - Evaluations **must** apply to the whole resource, not just the portion within the area of potential effect. In addition to an enhanced level of descriptive information, evaluations for archaeology and architecture must include the following items:

1.   Boundaries for the entire resource;5

2.   A statement of significance which includes evaluation against a defined historic context, register criteria, and periods and areas of significance;

3.   A detailed discussion of resource integrity and how it relates to significance;

VIII. Recommendations

A.   **Identification (phase I)** - Provide a summary discussion of survey find-

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5If boundaries cannot be determined due to denial of access by a private property owner, document the circumstances in the report.

ings, including a concise statement of potential Virginia Landmarks and National Register eligibility, supplemented by a table listing:

1.   state inventory number
2.   resource name, as appropriate
3.   property type
4.   potential significance
5.   potential effect
6.   management recommendation

example:

Inv. #	Name	Type	Potential Signif.	Potential Effect	Recommend.
44PG0032	Lee Site	Village	Yes (D)	Direct	Evaluation
081-0102	The Oaks	Dom./Dwell	No	Visual	No Eval.

B.   **Evaluation (phase II)** -

1.   Provide a summary discussion of evaluative findings for each resource. Provide an **explicit** recommendation of Virginia Landmarks and National Register eligibility or ineligibility supported by a brief justification of that opinion.

2.   For each resource recommended as eligible, provide an assessment of effect (i.e. no effect, no adverse effect, adverse effect). As appropriate, this assessment must specify those activities which will result in an effect on historic properties.

IX.   Bibliography - List all references and personal communications cited in the report. Adhere to the citation style guidelines of commonly used professional journals such as American Antiquity, or the Chicago Manual of Style.

X.   Appendices

    A.   Inventory Forms: All resources identified during a survey must be recorded on the appropriate DHR inventory form.6 For identification studies (phase I), architectural resources must be reported on the DHR Brief Survey Form.7 Archaeological resources must be reported on the DHR Archaeological Site Inventory Form. For evaluative studies (phase II), architectural resources need to be recorded on DHR Intensive Survey Forms. In place of an "intensive" archaeological inventory form, the DHR suggests that all archaeological sites evaluated as eligible be recorded on a draft National Register nomination.8 Original forms must be submitted to the Katherine Harbury, review and assignment of inventory numbers in advance of report submittal. Copies of approved forms with their official inventory numbers must be included in an appendix to the report. Please recognize that the original forms will be retained in the DHR archives. The review of a survey report will be delayed until 1) all necessary forms are submitted to and approved by the DHR and 2) the assigned inventory numbers are incorporated into the report. Questions regarding completion of survey forms should be directed to Trent Park (architecture) at 804-367-2323.

    B.   Artifact Inventory: Provide an inventory of all recovered artifacts arranged by provenience and identified by standard nomenclature in the report. List large inventories in an appendix (a second volume if necessary), not imbedded in the text of the report where a summary description and analysis is more appropriate. Small inventories may be imbedded in a report provided that the flow of text is not interrupted and that all artifacts are listed by provenience.

    C.   Vitae: Include the current vitae for the principal investigator and all authors if not presently on file at the DHR.

6For architectural identification (phase I) surveys, complete a Reconnaissance Survey Form for all properties previously recorded more than seven years ago.

7The DHR currently uses the Data Sharing System (DSS). All forms must be submitted in both hard copy (paper) and electronically.

8Completed National Register nomination forms and/or intensive architectural survey forms may be submitted in place of a management summary for the specific purpose of expediting the evaluation review. Inadequately completed forms are not acceptable. Final technical reports still must contain all the information required by these guidelines.

D.   Include Virginia Antiquities Act permit data if the survey occurred on state-owned land, or Archeological Resources Protection Act (ARPA) permit information if the investigation occurred on federal property.

E.   Include Burial Permit data, if applicable.

XI.   <u>General Format Requirements</u>

A.   Each resource identified or evaluated must be depicted on a USGS 7.5' minute topographic map in relation to the area of potential effect.

B.   For all illustrations include a caption, a legend, a scale or indication that it is not to scale, a compass orientation (north arrow), and a source.

C.   For photographs include a caption describing or indicating the view orientation.

D.   All illustrations must be legible. Field sketches typically are not appropriate illustrations unless they constitute part of the historic documentation of a resource.

E.   Reproducing historic documents and/or maps as illustrations is encouraged; however, they must be relevant to the area of potential effect and/or the resources being considered. The area of potential effect must be depicted on the map(s) when possible.

F.   Photographic documentation must be contained within the text of the report or within the appendix. For photographic documentation at the identification level, include at least one elevation of each building identified and views of its associated resources (i.e. outbuildings, landscape features). Photographic documentation for individual architectural evaluations must include interior views.9 Photographs for architectural surveys must be black and white and in 35mm, 2.25in., or 3x5" formats. Photographic depiction of artifacts may employ high quality color copying. Photographs must be presented in one of the following ways:

1.   original photographs
2.   half tone prints of photographs

9If a private property owner denies access to the interior of a building, document this circumstance in the report.

3.   offset lithographic prints of photographs
4.   screened xerographic copies of photographs

Do not staple or glue original photographs in a report. Original photographs must be attached by dry-mounting or included in a pocket or archival plastic photo holder (PrintFile style 45-4B).

G.   Reports more than 20 pages should be printed double-sided. Please number **all** pages, including illustrations.

H.   All reports must be submitted bound. The use of plastic spiral bindings is preferred. Other types of binding such as velo, glued, and pressboard do not withstand repeated use in the DHR library. In addition, state law requires the use of ph-neutral paper in all documents that are considered permanent records of the history of the Commonwealth.10 Please proofread all reports prior to submittal.

XII.   References

A.   Federal Publications

Advisory Council on Historic Preservation
    1986 Section 106, Step-by-Step.

1988 Identification of Historic Properties: A Decision Making Guide for Managers. Advisory Council on Historic Preservation and U.S. Department of the Interior, National Park Service.

Department of the Interior
n.d. How to Apply the National Register Criteria for Evaluation. National Register Bulletin 15. National Park Service.

1983 Archeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines. Federal Register 48: 44716-44742.

Derry, Anne, H. Ward Jandl, Carol D. Shull, Jan Thorman, and Patricia L. Parker
    1977 Guidelines for Local Surveys: A Basis for Preservation Planning.

10Code of Virginia § 42.1-77.

National Register Bulletin 24. U.S. Department of the Interior, National Park Service.

McClelland, Linda F., and James Charleton
    1991 Guidelines for Completing National Register of Historic Places Forms. National Register Bulletin 16A. U.S. Department of the Interior, National Park Service.

B. State Publications

Virginia Department of Historic Resources
    1987 How to Complete Division of Historic Landmarks Archaeological Site Inventory Forms.

    1992 (rev) How to Use Historic Contexts in Virginia: A Guide for Survey, Registration, Protection and Treatment Projects .

C. Other Publications

Society for American Archaeology
    1983 Editorial Policy and Style Guide for American Antiquity. American Antiquity 48:429-442.

University of Chicago Press
    1993 The Chicago Manual of Style. Fourteenth edition.

Appendix A

SECRETARY OF THE INTERIOR'S STANDARDS FOR IDENTIFICATION

National Park Service, 1983

Introduction:

Identification activities are undertaken to gather information about historic properties in an area. The scope of these activities will depend on: existing knowledge about properties; goals for survey activities developed in the planning process; and management needs.

<u>STANDARD I</u>

Identification of Historic Properties is Undertaken to the Degree Required to Make Decisions

Archival research and survey activities should be designed to gather the information necessary to achieve defined preservation goals. The objectives, chosen methods and techniques, and expected results of the identification activities are specified in a research design. These activities may include archival research and other techniques to develop historic contexts, sampling an area to gain a broad understanding of the kinds of properties it contains, or examining every property in an area as a basis for property specific decisions.

Where possible, use of quantitative methods is important because it can produce an estimate, whose reliability may be assessed, of the kinds of historic properties that may be present in the studied area. Identification activities should use a search procedure consistent with the management needs for information and the character of the area to be investigated. Careful selection of methods, techniques and level of detail is necessary so that the gathered information will provide a sound basis for making decisions.

<u>STANDARD II</u>

Results of Identification Activities are Integrated into the Preservation Planning Process

Results of identification activities are reviewed for their effects on previous planning data. Archival research or field survey may refine the understanding of

one or more historic contexts and may alter the need for additional survey of study of particular property types. Incorporation of the results of these activities into the planning process is necessary to ensure that the planning process is always based on the best available information.

STANDARD III

Identification Activities Include Explicit Procedures for Record-Keeping and Information Distribution

Information gathered in identification activities is useful in other preservation planning activities only when it is systematically gathered and recorded, and made available to those responsible for preservation planning. The results of identification activities should be reported in a format that summarizes the design and methods of the survey, provides a basis for others to review the results, and states where information on identified properties is maintained. However, sensitive information, like the location of fragile resources, must be safeguarded from general public distribution.

SECRETARY OF THE INTERIOR'S GUIDELINES FOR IDENTIFICATION

Introduction:

These Guidelines link the Standards for Identification with more specific guidance and technical information. The Guidelines outline one approach to meet the Standards for Identification. Agencies, organizations and individuals proposing to approach identification differently may wish to review their approaches with the National Park Service.

These Guidelines are organized as follows:

1. Role of Identification in the Planning Process
2. Performing Identification
3. Integrating Identification Results
4. Reporting Identification Results
5. Recommended Sources of Technical Information

Role of Identification in the Planning Process:

Identification is undertaken for the purpose of locating historic properties and is composed of a number of activities which include, but are not limited to archival

research, informant interviews, field survey and analysis. Combinations of these activities may be selected and appropriate levels of effort assigned to produce a flexible series of options.

Generally, identification activities will have multiple objectives, reflecting complex management needs. Within a comprehensive planning process, identification is normally undertaken to acquire property specific information needed to refine a particular historic context or to develop any new historic contexts.

The results of identification activities are then integrated into the planning process so that subsequent activities are based on the most up-to-date information. Identification activities are also undertaken in the absence of a comprehensive planning process, most frequently as part of a specific land-use or development project. Even lacking a formally developed preservation planning process, the benefits of efficient, goal-directed research may be obtained by the development of localized historic contexts, suitable in scale for the project area, as part of the background research which customarily occurs before field survey efforts.

Performing Identification:

<u>Research Design</u>

Identification activities are essentially research activities for which a statement of objectives or research design should be prepared before work is performed. Within the framework of a comprehensive planning process, the research design provides a vehicle for integrating the various activities performed during the identification process and for linking those activities directly to the goals and the historic context(s) for which those goals were defined.

The research design stipulates the logical integration of historic context(s) and field and laboratory methodology. Although these tasks may be performed individually, they will not contribute to the greatest extent possible in increasing information on the historic context unless they relate to the defined goals and to each other. Additionally, the research design provides a focus for the integration of interdisciplinary information. It ensures that the linkages between specialized activities are real, logical and address the defined research questions. Identification activities should be guided by the research design and the results discussed in those terms.

The research design should include the following:

1.   <u>Objectives</u> of the identified activities. For example: to characterize the

range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant.

The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

2.   <u>Methods</u> to be used to obtain the information. For example: archival research of field survey. Research methods should be clearly and specifically related to research problems.

Archival research or survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are. The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

3.   <u>The expected results</u> and the reasons for those expectations. Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypotheses, and analogy to the kinds of properties known to exist in areas of similar environment or history.

Archival Research

Archival or background research is generally undertaken prior to any field survey. Where identification is undertaken as part of a comprehensive planning process, background research may have taken place as part of the development of the historic contexts. In the absence of previously developed historic contexts, archival research should address specific issues and topics. It should not duplicate previous work. Sources should include, but not be limited to, historical maps, atlases, tax records, photographs, ethnographies, folk life documentation, oral histories and other studies, as well as, standard historical reference works, as appropriate for the research problem.

Field Survey

The variety of field survey techniques available, in combination with the varying

levels of effort that may be assigned, give great flexibility to implementing field surveys. It is important that the selection of field survey techniques and level of effort be responsive to the management needs and preservation goals that direct the survey effort.

Survey techniques may be loosely grouped into two categories, according to their results. First are the techniques that result in the characterization of a region's historic properties. Such techniques might include "windshield" or walk-over surveys, with perhaps a limited use of sub-surface survey. For purposes of these Guidelines, this kind of survey is termed a "reconnaissance". The second category of survey techniques is those that permit the identification and description of specific historic properties in an area; this kind of survey effort is termed "intensive". The terms "reconnaissance" and "intensive" are sometimes defined to mean particular survey techniques, generally with regard to prehistoric sites. The use of the terms here is general and is not intended to redefine the terms as they are used elsewhere.

Reconnaissance survey might be most profitably employed when gathering data to refine a developed historic context - such as checking on the presence or absence of expected property types, to define specific property types or to estimate the distribution of historic properties in an area. The results of regional characterization activities provide a general understanding of the historic properties in a particular area and permit management decisions that consider the sensitivity of the area in terms of historic preservation concerns and the resulting implication for future land use planning. The data should allow the formulation of estimates of the necessity, type and cost of further identification work and the setting of priorities for the individual tasks involved. In most cases, areas surveyed in this way will require re-survey if more complete information is needed about specific properties.

A reconnaissance survey should document:

1.	The kinds of properties looked for;
2.	The boundaries of the area surveyed;
3.	The method of survey, including the extent of survey coverage;
4.	The kinds of historic properties present in the surveyed area;
5.	Specific properties that were identified, and the categories of information collected; and
6.	Places examined that did not contain historic properties.

Intensive survey is most useful when it is necessary to know precisely what historic properties exist in a given area or when information sufficient for later

evaluation and treatment decisions is needed on individual historic properties. Intensive survey describes the distribution of properties in an area; determines the number, location, and condition of properties; determines the types of properties actually present within the area; permits classification of individual properties; and records the physical extent of specific properties.

An intensive survey should document:
1.   The kinds of properties looked for;
2.   The boundaries of the area surveyed;
3.   The method of survey, including an estimate of the extent of survey coverage;
4.   A record of the precise location of all properties identified; and
5.   Information on the appearance, significance, integrity and boundaries of each property sufficient to permit an evaluation of its significance.

Sampling

Reconnaissance or intensive survey methods may be employed according to a sampling procedure to examine less-than-the-total project or planning area. Sampling can be effective when several locations are being considered for an undertaking or when it is desirable to estimate the cultural resources of an area. In many cases, especially where large land areas are involved, sampling can be done in stages. In this approach, the results of the initial large area survey are used to structure successively, smaller, more detailed surveys. This "nesting" approach is an efficient technique since it enables characterization of both large and small areas with reduced effort. As with all investigative techniques, such procedures should be designed to permit an independent assessment of results.

Various types of sample surveys can be conducted, including, but not limited to: random, stratified and systematic. Selection of sample type should be guided by the problem the survey is expected to solve, the nature of the expected properties and the nature of the area to be surveyed.

Sample survey may provide data to estimate frequencies of properties and types of properties within a specified area at various confidence levels. Selection of confidence levels should be based upon the nature of the problem the sample survey is designed to address.

Predictive modeling is an application of basic sampling techniques that projects or extrapolates the number, classes and frequencies of properties in unsurveyed areas. Predictive modeling can be an effective tool during the early stages of

planning an undertaking for targeting field survey and for other management purposes. However, the accuracy of the model must be verified; predictions should be confirmed through field testing and the model redesigned and re-tested if necessary.

Special Survey Techniques

Special survey techniques may be needed in certain situations. Remote sensing techniques may be the most effective way to gather background environmental data, plan more detailed field investigations, discover certain classes of properties, map sites, locate and confirm the presence of predicted sites, and define features within properties. Remote sensing techniques include aerial, subsurface and underwater techniques. Ordinarily the results of remote sensing should be verified through independent field inspection before making any evaluation or statement regarding frequencies or types of properties.

Integrating Identification Results

The results of identification efforts must be integrated into the planning process so that planning decisions are based on the best available information. The new information is first assessed against the objectives of the identification effort to determine whether the gathered information meets the defined identification goals for the historic context(s); then the goals are adjusted accordingly. In addition, the historic context narrative, the definition of property types and the planning goals for evaluation and treatment are all adjusted as necessary to accommodate the new data.

Reporting the Identification Results

Reporting of the results of identification activities should begin with the statement of objectives prepared before undertaking the survey. The report should respond to each of the major points documenting:
1. Objectives;
2. Area researched or surveyed;
3. Research design or statement of objectives;
4. Methods used, including the intensity of coverage. If the methods differ from those outlined in the statement of objectives, the reasons should be explained.
5. Results: how the results met the objectives; result analysis, implications and recommendations; where the compiled information is located.

A summary of the survey results should be available for examination and distribution. Identified properties should then be evaluated for possible inclusion in appropriate inventories.

Protection of information about archaeological sites or other properties that may be threatened by dissemination of that information is necessary. These may include fragile archaeological properties or properties such as religious sites, structures, or objects, whose cultural value would be compromised by public knowledge of the property's location.

APPENDIX B

SECRETARY OF THE INTERIOR'S STANDARDS FOR EVALUATION

National Park Service, 1983

Introduction:

Evaluation is the process of determining whether identified properties meet defined criteria of significance and therefore should be included in an inventory of historic properties determined to meet the criteria. The criteria employed vary depending on the inventory's use in resource management.

STANDARD I

Evaluation of the Significance of Historic Properties Uses Established Criteria

The evaluation of historic properties employs criteria to determine which properties are significant. Criteria should therefore focus on historical, architectural, archaeological, engineering and cultural values, rather than on treatments. A statement of the minimum information necessary to evaluate properties against the criteria should be provided to direct information gathering activities.

Because the National Register of Historic Places is a major focus of preservation activities on the Federal, State and local levels, the National Register criteria have been widely adopted not only as required for Federal purposes, but for State and local inventories as well. The National Historic Landmark criteria and other criteria used for inclusion of properties in State historic site files are other examples of criteria with different management purposes.

STANDARD II

Evaluation of Significance Applies the Criteria Within Historic Contexts

Properties are evaluated using a historic context that identifies the significant patterns that properties represent and defines expected property types against which individual properties may be compared. Within this comparative framework, the criteria for evaluation take on particular meaning with regard to individual properties.

<u>STANDARD III</u>

Evaluation Results in A List or Inventory of Significant Properties That Is Consulted In Assigning Registration and Treatment Priorities

The evaluation process and the subsequent development of an inventory of significant properties is an on-going activity. Evaluation of the significance of a property should be completed before registration is considered and before preservation treatments are selected. The inventory entries should contain sufficient information for subsequent activities such as registration or treatment of properties, including an evaluation statement that makes clear the significance of the property within one or more historic contexts.

<u>STANDARD IV</u>

Evaluation Results Are Made Available to the Public

Evaluation is the basis of registration and treatment decisions. Information about evaluation decisions should be organized and available for use by the general public and by those who take part in decisions about registration and treatment. Use of appropriate computer-assisted databases should be a part of the information dissemination effort. Sensitive information, however, must be safeguarded from general public distribution.

SECRETARY OF THE INTERIOR'S GUIDELINES FOR EVALUATION

Introduction:

These Guidelines link the Standards for Evaluation with more specific guidance and technical information. These Guidelines describe one approach to meeting the Standards for Evaluation. Agencies, organizations, or individuals proposing to approach evaluation differently may wish to review their approach with the National Park Service.

These Guidelines are organize as follows:
1.   The Evaluation Process
2.   Criteria
3.   Application of Criteria within a Historic Context
4.   Inventory
5.   Recommended Sources of Technical Information

The Evaluation Process

These Guidelines describe principles for evaluating the significance of one or more historic properties with regard to a given set of criteria.

Groups of related properties should be evaluated at the same time whenever possible; for example, following completion of a theme study or community survey.

Evaluation should not be undertaken using documentation that may be out of date. Prior to proceeding with evaluation, the current condition of the property should be determined and previous analyses evaluated in light of any new information.

Evaluation must be performed by person qualified by education, training, and experience in the application of the criteria. Where feasible, evaluation should be performed in consultation with other individuals experienced in applying the relevant criteria in the geographical area under consideration; for example, the State Historic Preservation Officer or local landmarks commission.

Evaluation is completed with a written determination that a property is or is not significant based on provided information. This statement should be part of the record.

Criteria: The purposes of evaluation criteria should be made clear. For example, the criteria may be used "to evaluate properties for inclusion in the county landmarks list," or "to implement the National Register of Historic Places program."

For Federal cultural resource management purposed, criteria used to develop an inventory should be coordinated with the National Register criteria for evaluation as implemented in the approved State comprehensive historic preservation plan.

Content of Criteria: Criteria should be appropriate in scale to the purpose of the evaluation. For example, criteria designed to describe national significance should not be used as the basis for crating a county or State inventory. Criteria should be categorical and not attempt to describe in detail every property likely to qualify. Criteria should outline the disciplines or broad areas of concern (history, archaeology, architectural history, engineering and culture, for example) included within the scope of the inventory; explain what kinds of properties, if an, are excluded and the reasons for exclusion; and define how levels of significance are measured, if such levels are incorporated into the criteria. If the criteria are to be used in situations where the National Register criteria are also widely used, it is

valuable to include a statement explaining the relationship of the criteria used to the National Register criteria, including how the scope of the inventory differs from that defined by the National Register criteria and how the inventory could be used to identify properties that meet the National Register criteria.

Information Needed to Evaluate Properties: The criteria should be accompanied by a statement defining the minimum information necessary to evaluate properties to insure that this information is collected during identification activities intended to locate specific historic properties. Generally at least the following will be needed:

1. Adequately developed historic contexts, including identified property types. (See the Guidelines for Preservation Planning for discussion of development of historic contexts).

2. Sufficient information about the appearance, condition, and associative values of the property to be evaluated to:
      a. Classify it as to property type;
      b. Compare its features or characteristics with those expected for its property type; and
      c. Define the physical extent of the property and accurately locate the property.

To facilitate distinguishing between facts and analysis, the information should be divided into categories, including identification and description of pertinent historical contexts; description of the property and its significance in the historical context; and analysis of the integrity of the property relative to that needed to represent the context.

Usually documentation need not include such items as a complete title history or biography of every owner of a property, except where that information is important in evaluating its significance. Information on proposed or potential treatments or threats, such as destruction of a property through uncontrollable natural processes, is also not needed for evaluation, unless those effects are likely to occur prior to or during the evaluation, thereby altering the significant characteristic of the property. If archaeological testing or structural analysis is needed for evaluation, it should not proceed beyond the point of providing the information necessary for evaluation and should not unnecessarily affect significant features or values of the property.

When more information is needed: Evaluation cannot be conducted unless all necessary information is available. (See Information Needed to Evaluate

Properties.) Any missing information or analysis should be identified (e.g. development of context or information on the property) as well as the specific activities required to obtain the information (archival research, field survey and testing, or laboratory testing). When adequate information is not available, it is important to record that fact so that evaluation will not be undertaken until the information can be obtained. In some cases needed information is not obtainable, for example, where historical records have been destroyed or analytical techniques have not been developed to date materials in archaeological sites. If an evaluation must be completed in these cases, it is important to acknowledge what information was not obtainable and how that missing information may affect the reliability of the evaluation.

Application of the Criteria within a Historic Context

The first step in evaluation is considering how the criteria apply to the particular historic context. This is one by reviewing the previously developed narrative for the historic context and determining how the criteria would apply to properties in that context, based on the important patterns, events, person, and cultural values identified. (See the discussion of the historic context narrative in the Guidelines for Preservation Planning). This step included identification of which criteria each property type might meet and how integrity is to be evaluated for each property type under each criterion. Specific guidelines for evaluating the eligibility of individual properties should be established. These guidelines should outline and justify the specific physical characteristics or data requirements that an individual property must possess to retain integrity for the particular property type; and define the process by which revisions or additions can be made to the evaluation framework.

Consideration of property type and integrity: After considering how the criteria apply to the particular historic context, the evaluation process for a property generally includes the following steps:

1.   A property is classified as to the appropriate historic context(s) and property type(s). If no existing property types is appropriate, a new property type is defined, its values identified, and the specific characteristics or data requirements are outlined and justified as an addition to the historic context. If necessary, a new historic context is defined for which values and property types and their integrity requirements are identified and justified.

2.   A comparison is made between the existing information about the property and the integrity characteristics or data required for the property type.

a. If the comparison shows that the property possesses these characteristics, then it is evaluated as significant for that historic context. The evaluation includes a determination that the property retains integrity for its type.

b. If the comparison shows that the property does not meet the minimum requirements, one of several conclusions can be reached:

1. The property is determined not significant because it does not retain the integrity defined for the property type.

2. The property has characteristics that may make it significant but these differ from those expected for that property type in that context. In this case, the historic context or property types should be reexamined and revised if necessary, based on subsequent research and survey.

The evaluation should state how the particular property meets the integrity requirements for its type. When a property is disqualified for loss of integrity, the evaluation statement should focus on the kinds of integrity expected for the property type, those that are absent for the disqualified property, and the impact of that absence on the property's ability to exemplify architectural, historical or research values within a particular historic context.

The integrity of the property in its current condition, rather than its likely condition after a proposed treatment, should be evaluated. Factors such as structural problems, deterioration, or abandonment should be considered in the evaluation only if they have affected the integrity of the significant features or characteristics of the property.

Inventory

An inventory is a repository of information on specific properties evaluated as significant.

Content: The inventory should include:

1. Summaries of the important historic contexts. These may be in the form of an approved plan or analyses of historic contexts important in the history of the geographical area covered by the inventory.

2. Descriptions of significant property types of these contexts, whether or not

any specific properties have been identified.

3. Results of reconnaissance surveys o other identification activities, even if the level of information on specific properties identified as part of those activities is not sufficient to evaluate individual properties.

4. Information on individual properties that was used in evaluation.

Historic contexts are identified by name, with reference to documents describing those contexts, or with a narrative statement about the context(s) where such documents do not exist.

A description of the property. Part of this description may be a photographic record.

A statement that justifies the significance of the property in relation to its context(s). This statement should include an analysis of the integrity of the property.

Boundaries of the property.

A record of when a property was evaluated and included in the inventory, and by whom.

Records on demolished or altered properties an properties evaluated as not significant should be retain, along with full description of areas surveyed, for the planning information these records provide about impacts to properties and about the location and character on non-significant properties to prevent redundant identification work at a later time.

Maintenance: Inventory entries should be maintained so that they accurately represent what is known about historic properties in the area covered by the inventory. This will included new information gained from research and survey about the historic contexts, property types, and previously evaluated properties, as well as information about newly evaluated properties. For individual properties, addition of kinds of significance, change in the boundaries, or loss of significance through demolition or alteration should be recorded.

Uses and Availability: An inventory should be managed so that the information is accessible. Its usefulness depends on the organization of information and on its ability to incorporate new information. An inventory should be structured so that entries can be retrieved by locality or by historic context.

The availability of the inventory information should be announced or a summary should be distributed. This may be in the form of a list of properties evaluated as significant or a summary of the historic contexts and the kinds of properties in the inventory. Inventories should be available to managers, planners, and the general public at local, State, regional, and Federal agency levels.

It is necessary to protect information about archaeological sites or other properties whose integrity may be damaged by widespread knowledge of their location. It may also be necessary to protect information on the location of properties such as religious sites, structures, or objects whose cultural value would be compromised by public knowledge of the property's location.

Recommended Sources of Technical Information

How to Apply the National Register Criteria. Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Provides detailed technical information about interpretation of the significance and integrity criteria used by the National Register of Historic Places program.

How To Series. Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Discusses application of the National Register criteria for evaluation. Titles include:

How to Establish Boundaries for National Register Properties

How to Evaluate and Nominate Potential National Register Properties that have achieved significance within the last 50 years.

How to Improve Quality of Photos for National Register Nominations.

How to Apply for Certification of significance Under Section 2124 of the Tax Reform act of 1976.

How to Apply for Certification of State and Local Statutes and Historic Districts.

How to Qualify Historic Properties Under the New Federal Law Affecting Easements.

Importance of Small, Surface, and Disturbed Sites as Sources of Significant

Archaeological Data. Valeri Talmage and Olga Chesler. Interagency Archaeological Service 1877. Washington, D. C. Available from the National Technical Information Service. NTIS Publication Number PB 270939/AS. Discusses the role of small, surface, and disturbed sites as sources of significant information about a variety of prehistoric activities. These types of sites are frequently ignored in the development of regional archaeological research designs.